



**Administration for Children and Families**

Office of Community Services

Community Services Block Grant (CSBG) Training and Technical Assistance (T/TA) Program -  
Strengthening the Capacity and Ability of CSBG-Eligible Entities to Address Legal Issues

HHS-2012-ACF-OCS-ET-0304

Application Due Date: 06/26/2012

Community Services Block Grant (CSBG) Training and Technical Assistance (T/TA) Program -  
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TABLE OF CONTENTS

Overview

Executive Summary

[Section I. Funding Opportunity Description](#)

[Section II. Award Information](#)

[Section III. Eligibility Information](#)

1. Eligible Applicants
2. Cost Sharing or Matching
3. Other - (if applicable)

Section IV. Application and Submission Information

1. [Address to Request Application Package](#)
2. [Content and Form of Application Submission](#)
3. [Submission Dates and Times](#)
4. [Intergovernmental Review](#)
5. [Funding Restrictions](#)
6. [Other Submission Requirements](#)

[Section V. Application Review Information](#)

1. Criteria
2. Review and Selection Process
3. Anticipated Announcement and Award Dates

[Section VI. Award Administration Information](#)

1. Award Notices
2. Administrative and National Policy Requirements
3. Reporting

[Section VII. Agency Contact\(s\)](#)

[Section VIII. Other Information](#)

**Department of Health & Human Services  
Administration for Children & Families**

**Program Office:** Office of Community Services  
**Funding Opportunity Title:** Community Services Block Grant (CSBG) Training and Technical Assistance (T/TA) Program - Strengthening the Capacity and Ability of CSBG-Eligible Entities to Address Legal Issues  
**Announcement Type:** Initial  
**Funding Opportunity Number:** HHS-2012-ACF-OCS-ET-0304  
**CFDA Number:** 93.569  
**Due Date for Applications:** **06/26/2012**

**Notice:** On January 1, 2012, the Administration for Children and Families implemented required electronic application submission via [www.Grants.gov](http://www.Grants.gov) for discretionary grant applications. (76 Fed. Reg. 66721-66723, October 27, 2011, [New Policies and Procedural Requirements for the Electronic Submission of Discretionary Grant Applications](#)). Please see *Section III.3. Disqualification Factors*, *Section IV.2. Content and Form of Application Submission* and *Application Submission Options*, and *Section IV.3. Explanation of Due Dates and Times* for information on electronic application submission and the availability of exemptions allowing applicants to submit applications in paper format.

**Executive Summary:**

The Office of Community Services (OCS) within the Administration for Children and Families (ACF) announces that competing applications will be accepted for a new cooperative agreement to strengthen and expand the capacity and ability of Community Services Block Grant-eligible entities to deal with legal issues, especially those that have been shown to significantly impact the administrative, fiscal, and programmatic policies and operating procedures of agencies funded under the Community Services Block Grant (CSBG).

This two-year cooperative agreement will support the implementation of a national T/TA strategy designed for CSBG-eligible entities to help address legal issues in three major focus areas:

- 1) Organizational Stability and Support** for CSBG-eligible entities experiencing significant fiscal or organizational challenges, including consultation focused on entities that are considering legal options for strategic restructuring, shared administrative or service arrangements, or mergers;
- 2) Education and Training** to enhance general knowledge and understanding of CSBG statutory and regulatory requirements, and the ability to address changing legal and regulatory issues affecting CSBG-eligible entities in the CSBG Network; and
- 3) Promotion of Exemplary Legal Practices and Policies** related to organizational approaches that help promote innovation, accountability, and responsiveness to specific community needs related to the reduction of poverty, the revitalization of low-income communities, and the empowerment of low-income families and individuals in rural and urban areas to become fully self-sufficient.

The cooperative agreement will also work to address issues regarding *Knowledge Management and Sustainability* to assist CSBG-eligible entities with integrating enhanced and newly acquired knowledge of CSBG legal requirements into their administrative, fiscal, and programmatic policies and operating procedures; disseminating the knowledge and complementary resources throughout the organization; and

providing guidance on how the organization can work to ensure the knowledge is sustained over the long-term.

## I. Funding Opportunity Description

### Statutory Authority

This program is authorized by Sections 674(b)(2)(A) and 678A of the CSBG Act (42 U.S.C. §§ 9903(b)(2)(A) and 9913).

### Description

#### DEFINITIONS OF TERMS

The following definitions apply:

*Capacity-Building* - Activities that assist CSBG-eligible entities to improve or enhance their overall or specific ability to plan, deliver, manage, and evaluate programs efficiently and effectively to produce intended results for low-income individuals. This may include upgrading internal financial management or computer systems, establishing new external linkages with other organizations, improving board functioning, developing staff expertise, adding or refining a program component, replicating techniques or programs piloted in another local community, or making other cost-effective improvements.

*CSBG Network* - The various organizations involved in planning and implementing programs funded through CSBG. The network includes CSBG-eligible entities, CSBG Lead Agencies and their national association, State Community Action Agency Associations, and related organizations that collaborate and participate with CSBG-eligible entities in their efforts on behalf of low-income people.

*Cooperative Agreement* - An award instrument of financial assistance used when substantial involvement is anticipated between the awarding office (the Federal Government) and the recipient during performance of the contemplated project. Substantial involvement may include collaboration or participation by OCS staff in activities specified in the award and, as appropriate, decision-making at specified milestones related to performance.

*Expenditure Reporting* - An accounting of funds spent, including those funds spent on administrative costs and the direct delivery of T/TA activities and services.

*Knowledge Management (KM)* - The process of gathering, classifying, analyzing, and sharing information so that an organization can collectively pursue its objectives efficiently. Components of KM include People, Processes, and Technology. The process of KM should be supported by an appropriate investment in training and technology.

*Performance Progress Reporting* - An accounting of activities and services provided, including those activities related to the direct delivery of T/TA activities and services.

*Program Accountability* - The ability of an organization to meet program objectives and provide program services in accordance with Federal and State CSBG requirements. Activities that support this effort may include ongoing internal monitoring and evaluations of programmatic activities (i.e. development, planning, and implementation).

*State Community Action Agency Associations (State Associations)* - Organizations that provide T/TA designed to increase the capacity of CSBG-eligible entities to carry out the mandate of the CSBG Act and measure results.

*State CSBG Lead Agency* - The agency designated by the Governor or Chief Executive Officer of a State to submit the State's official CSBG plan, monitor the activities of eligible entities, and assure compliance with all statutory and regulatory requirements for CSBG.

*Sustainability* - The ability of an eligible entity (or one of its programs) to continue to meet the needs of the community on an ongoing basis - beyond the life of specific grants, or with diminishing support.

*Technical Assistance* - An activity, generally utilizing the services of an expert (often a peer), aimed at enhancing capacity, improving programs and systems, or solving specific problems. Such services may be provided proactively to improve systems or as an intervention to solve specific problems.

*Training* - An educational activity or event that is designed to impart knowledge and understanding or increase the development of skills. Such training activities may be in the form of assembled events such as workshops, seminars, conferences, or programs of self-instructional activities.

## **BACKGROUND**

OCS provides assistance to States and local communities working through a network of CSBG-eligible entities for the reduction of poverty, the revitalization of low-income communities, and the empowerment of low-income families and individuals to become self-sufficient. CSBG provides States, the District of Columbia, the Commonwealth of Puerto Rico, U.S. Territories, and Federal and State-recognized Indian Tribes and tribal organizations, Community Action Agencies, migrant and seasonal farmworkers, or other organizations designated by the States, funds to help alleviate the causes and conditions of poverty in communities.

OCS funds grants that provide a range of services and activities to assist the needs of low-income individuals, including the homeless, migrants, and the elderly. Grant amounts are determined by a formula based on each State's and Indian Tribe's poverty population. Grantees receiving funds under CSBG are required to provide services and activities addressing employment, education, better use of available income, housing, nutrition, emergency services, and/or health.

Because of the complex legal framework of CSBG, technical assistance focused on legal compliance issues has long been considered to be a critical area for program success. Historically, OCS has provided technical assistance support to States and eligible entities focused on a variety of legal issues affecting CSBG-eligible entities as part of its reserved T/TA funds and activities. CSBG legal technical assistance has served as a complement to technical assistance in other areas, such as governance, performance management, and risk mitigation and quality assurance efforts.

## **CSBG NATIONAL TECHNICAL ASSISTANCE STRATEGY**

In 2011, OCS determined that increased attention to accountability, transparency, and performance outcomes demanded a new strategy to assure the most efficient and effective use of all CSBG T/TA resources. It was critical that OCS employ a strategic approach to enhance the coordination and effectiveness of the overall CSBG T/TA grant portfolio. The National T/TA Strategy for Promoting Exemplary Practices and Risk Mitigation for CSBG, which was published in 2011, is a strategic framework designed to stimulate and strengthen accountability within CSBG. A copy of this strategy is available at: <http://www.acf.hhs.gov/programs/ocs/csbg/guidance/im123.html>.

### **The CSBG National T/TA Strategy is designed to:**

- Measure and document performance in accordance with CSBG reporting requirements;
- Assure performance management and use of performance data at all levels within the CSBG program (local, State, and Federal);
- Mitigate risks associated with the use of CSBG grant funds;
- Promote exemplary practices and innovative programming that stimulates the creation and sharing of information and knowledge in the CSBG T/TA Network;
- Work with States to help ensure CSBG-eligible entity boards know, understand, and meet their fiduciary responsibilities to CSBG (i.e., participation in the development, planning, implementation, and evaluation of CSBG-funded activities and services); and
- Ensure the management and delivery of CSBG-funded services address critical needs and promote positive outcomes for low-income people in communities.

This funding opportunity announcement is intended to support an ongoing effort in CSBG to create an enhanced nationwide T/TA strategy for strengthening and expanding the capacity and ability of CSBG-eligible entities to deal with legal issues, especially those that have been shown to significantly impact the administrative, fiscal, and programmatic policies and operating procedures of agencies funded under CSBG. This funding opportunity announcement is similar to past announcements in this area, but includes a new emphasis on the unique technical assistance needs of entities that are considering legal options for strategic restructuring, shared administrative or service arrangements, or mergers. Although mergers of eligible entities in CSBG do not occur routinely, they may be considered for a variety of reasons. Eligible entities may consider mergers in order to strengthen administrative or programmatic operations in one or both organizations.

While efforts to restructure or merge operations present significant organizational and legal issues for any non-profit organization, there are a number of unique challenges relevant to eligible entities within CSBG. In particular, eligible entities seeking to merge some or all of their operations (either with another CSBG-eligible entity or with other non-profit organizations) must work with State CSBG lead agencies to identify the legal impact of the merger on an organization's status within CSBG.

Examples of potential legal issues include: 1) tripartite board compliance issues; 2) potential changes to the share of funding based on State CSBG formulas; 3) changes in contract requirements; and 4) changes to performance goals and reporting expectations. In addition, CSBG-eligible entities seeking to merge some or all of their operations must assess the legal impact on their status with other State and Federal program areas, such as Head Start. OCS considers technical assistance in this area to be of critical importance for the vitality of the CSBG grantee network.

## **PROJECT SCOPE**

The successful grantee under this funding opportunity announcement will work in partnership with OCS and leading national organizations associated with CSBG to develop a coordinated T/TA strategy focused on legal issues and needs for the CSBG Network in three major areas:

- 1) Organizational Stability and Support Consultation** for CSBG-eligible entities experiencing significant fiscal or organizational challenges including consultation focused on entities that are considering legal options for strategic restructuring, shared administrative or service arrangements, or mergers;
- 2) Education and Training** to enhance general knowledge and understanding of CSBG statutory and regulatory requirements, and the ability to address changing legal and regulatory issues affecting CSBG-eligible entities in the CSBG Network; and
- 3) Promotion of Exemplary Legal Practices and Policies** related to organizational approaches that help promote innovation, accountability, and responsiveness to specific community needs related to the reduction of poverty, the revitalization of low-income communities, and the empowerment of low-income families and individuals in rural and urban areas to become fully self-sufficient.

The successful grantee under this funding opportunity announcement will work to address issues regarding *Knowledge Management and Sustainability* to stimulate the creation and sharing of information and knowledge among all State CSBG Lead Agencies and CSBG-eligible entities. The successful grantee under this announcement will also work to provide guidance on integrating enhanced or newly acquired legal knowledge into agency administrative, fiscal, and programmatic policies and operational procedures, with the goal of protecting and maintaining both tangible and intangible knowledge of resources for and resolutions to legal issues related to CSBG.

Resources provided through this cooperative agreement may support direct T/TA projects for CSBG-eligible entities, as well as the creation of an enhanced infrastructure to help OCS prepare to address long-term T/TA needs of CSBG-eligible entities.

Of specific interest to OCS are current exemplary legal practices and policies that State CSBG Lead Agencies and CSBG-eligible entities can adopt and/or adapt to:

- identifying potential fiscal and organizational risks;
- assessing and responding to common legal issues and concerns for nonprofit organizations and local government service providers;
- implementing innovative activities and services that align with the CSBG national goals and measures;
- enhancing administrative, financial, and program operations;
- clarifying the roles and responsibilities of local CSBG-eligible entity tripartite boards; and
- assuring compliance during efforts to restructure operations, merge some or all operations with those of other eligible entities or non-profit organizations, or fully merge non-profit organizations.

OCS also promotes policy guidance and activities that include, but are not limited to, the following:

- Enhancing the knowledge and abilities of State CSBG Lead Agencies to assist CSBG-eligible entities with legal issues that help to ensure agencies administer the most effective and efficient CSBG-funded activities and services;
- Promoting the active involvement of State CSBG Lead Agencies and CSBG-eligible entities in all aspects of activities related to the development and implementation of a corrective action plan designed to address legal compliance issues; and
- Developing and promoting the use of self-assessment tools and activities to address legal issues that may delay the systemic change and improvement of administrative, fiscal, and programmatic policies and operational procedures of CSBG-eligible entities.

There may be other legal issues of varying themes impacting the CSBG Network. It is hoped that strengthening and expanding the capacity and ability of CSBG-eligible entities to deal with legal issues, especially those that have been shown to significantly impact the administrative, fiscal, and programmatic policies and operating procedures, will lead to:

- An increase in the body of knowledge (i.e. exemplary legal practices and policies) available to the CSBG Network that enhances the ability of CSBG-eligible entities to identify and respond to legal issues, and State CSBG Lead Agencies' ability to support these efforts;
- Stronger planning and coordination that is more responsive to legal issues that hinder efforts to effectively address the local needs and conditions of low-income individuals, families, and communities;
- The development, improvement, or creation of activities and services that maximize the resources of CSBG-eligible entities;
- An increase in the use of innovative, effective, and legally sound administrative, fiscal, and programmatic policies and operational procedures that support efforts to attack the causes and effects of poverty and community breakdown;
- An increase in legal information and support accessible to CSBG-eligible entities within the CSBG Network that are considering or implementing organizational restructuring efforts, shared service or administrative arrangements, or mergers in partnership with other CSBG-eligible entities or with other community non-profit organizations with related missions and service populations; and
- The collection of a comprehensive clearinghouse of exemplary legal practices and policies and relevant legal citations that increase accountability and effectively help to advance the efforts of State CSBG Lead Agencies and CSBG-eligible entities to carry out the mandate of the CSBG Act and measure results.

### **Participation in a Web-Based Technical Assistance Coordination System**

As a component of the cooperative agreement, the successful grantee will participate in a Web-based technical assistance coordination system operated by grantees under the Risk Mitigation and Quality Improvement T/TA Center and the CSBG State Performance Management Clearinghouse to

assure that all State CSBG Lead Agencies and CSBG-eligible entities have access to updated national information on evidence-based and evidence-informed service approaches.

For more information on program components specific to this funding opportunity announcement, please reference *Section IV.2* under *The Project Description: General Instructions for Preparing a Full Project Description*.

Please see *Section IV.5 Funding Restrictions* for limitations on the use of grant funds awarded under this announcement.

## II. Award Information

|                                 |                             |
|---------------------------------|-----------------------------|
| Funding Instrument Type:        | Cooperative Agreement       |
| Estimated Total Funding:        | \$200,000                   |
| Expected Number of Awards:      | 1                           |
| Award Ceiling:                  | \$200,000 Per Budget Period |
| Award Floor:                    | \$200,000 Per Budget Period |
| Average Projected Award Amount: | \$200,000 Per Budget Period |

### Length of Project Periods:

24-month project with two 12-month budget periods

### Additional Information on Awards:

Awards made under this announcement are subject to the availability of Federal funds.

Applications requesting an award amount that exceeds the *Award Ceiling* per budget period or per project period, as stated in this section, will be disqualified from competitive review and from funding under this announcement. This disqualification applies only to the *Award Ceiling* listed for the first 12-month budget period for projects with multiple budget periods. If the project and budget period are the same, the disqualification applies to the *Award Ceiling* listed for the project period. Please see *Section III.3. Application Disqualification Factors*.

**Note:** For those programs that require matching or cost sharing, grantees will be held accountable for projected commitments of non-Federal resources in their application budgets and budget justifications, even if the projected commitment exceeds the required amount of match or cost share. A grantee's failure to provide the required matching amount will result in the disallowance of Federal funds.

Continuation grant applications will be considered on a non-competitive basis and is subject to the satisfactory progress of the grantee, availability of funds, and a determination that continued funding would be in the best interest of the Federal Government. Grants will be awarded for one-year budget periods throughout the project.

### Description of ACF's Anticipated Substantial Involvement Under the Cooperative Agreement

To ensure that OCS meets its compliance and T/TA responsibilities for CSBG and continues its partnership with the CSBG Network, grants awarded under this funding opportunity announcement will be funded in the form of cooperative agreements. Substantial Federal involvement under the cooperative agreement award may include the following:

- Convening in-person planning and coordination meetings involving CSBG T/TA providers to share information about proposed T/TA projects, identify areas for potential coordination of efforts, and identify priority areas for T/TA projects;



- Convening routine (e.g. monthly) conference calls among CSBG T/TA providers and other key stakeholder organizations;
- Reviewing recommendations and implementation plans for T/TA projects to ensure coordination with other CSBG T/TA projects and activities; and
- Participation in a Web-based technical assistance (TA) coordination system, operated by grantees under the Risk Mitigation and Quality Improvement T/TA Center, and the CSBG State Performance Management Clearinghouse, to assure that all State CSBG Lead Agencies and CSBG-eligible entities have access to updated national information on evidence-based and evidence-informed service approaches.

Please see *Section IV.5 Funding Restrictions* for limitations on the use of grant funds awarded under this announcement.

### III. Eligibility Information

#### III.1. Eligible Applicants

Eligible applicants are non-profit organizations with or without 501(c)(3) Internal Revenue Service status, other than institutions of higher education. As prescribed by Section 678A(c)(2) of the CSBG Act, eligible applicants are CSBG-eligible entities or Statewide or local organizations or associations, with demonstrated expertise in providing training on methods of effectively addressing the needs of low-income families and communities.

Individuals, foreign entities, and sole proprietorship organizations are not eligible to compete for, or receive, awards under this announcement. See *Section III.3. Other*.

Faith-based and community organizations that meet eligibility requirements are eligible to receive awards under this funding opportunity announcement.

See "Legal Status of Applicant Entity" in *Section IV.2* for documentation required to support eligibility.

#### III.2. Cost Sharing or Matching

Cost Sharing / Matching Requirement: No

#### III.3. Other

##### DUNS Number (Universal Identifier) and Central Contractor Registration (CCR) Requirements

##### DUNS Number Requirement

Data Universal Numbering System (DUNS) Number is the nine-digit, or thirteen-digit (DUNS + 4), number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify business entities.

All applicants and subrecipients must have a DUNS number at the time of application in order to be considered for a grant or cooperative agreement. A DUNS number is required whether an applicant is submitting a paper application or using the Government-wide electronic portal, [www.Grants.gov](http://www.Grants.gov). A DUNS number is required for every application for a new award or renewal/continuation of an award, including applications or plans under formula, entitlement, and block grant programs. A DUNS number may be acquired at no cost online at <http://fedgov.dnb.com/webform>.

To acquire a DUNS number by phone, contact the D&B Government Customer Response Center:

U.S. and U.S Virgin Islands: 1-866-705-5711

Alaska and Puerto Rico: 1-800-234-3867 (Select Option 2, then Option 1)

Monday - Friday 7 a.m. to 8 p.m., CST

The process to request a D-U-N-S Number by telephone will take between 5 and 10 minutes.

## **Central Contractor Registration (CCR) Requirement**

Central Contractor Registration (CCR) is the Federal registrant database and repository into which an entity must provide information required for the conduct of business as a recipient. CCR, managed by the General Services Administration, collects, validates, stores, and disseminates data in support of agency financial assistance missions.

Effective October 1, 2011, HHS required all entities that plan to apply for, and ultimately receive, Federal grant funds from any HHS Agency, or receive subawards directly from recipients of those grant funds to:

- Be registered in the CCR prior to submitting an application or plan;
- Maintain an active CCR registration with current information at all times during which it has an active award or an application or plan under consideration by an OPDIV; and
- Provide its DUNS number in each application or plan it submits to the OPDIV.

ACF is prohibited from making an award until an applicant has complied with these requirements. At the time an award is ready to be made, if the intended recipient has not complied with these requirements, ACF:

- May determine that the applicant is not qualified to receive an award; and
- May use that determination as a basis for making an award to another applicant.

Additionally, all first-tier subaward recipients (i.e., direct subrecipient) must have a DUNS number at the time the subaward is made

CCR registration may be made online at [www.ccr.gov](http://www.ccr.gov) or by phone at 1-866-606-8220. CCR registration must be updated annually. CCR registration must be active and maintained with current information at all times during which an organization has an active award or an application under consideration.

Applicants are strongly encouraged to register at the CCR well in advance of the application due date.

## **APPLICATION DISQUALIFICATION FACTORS**

Applications from individuals, foreign entities, or sole proprietorship organizations will be disqualified from competitive review and from funding under this announcement.

### **Award Ceiling Disqualification**

Applications that request an award amount exceeding the *Award Ceiling* per budget period, or per project period, as stated in *Section II. Award Information*, will be disqualified from competitive review and from funding under this announcement. This disqualification applies only to the *Award Ceiling* listed for the first 12-month budget period for projects with multiple budget periods. If the project and budget period are the same, the disqualification applies to the *Award Ceiling* listed for the project period.

## Application Submission Disqualifications

**Beginning January 1, 2012, ACF requires electronic submission of applications at [www.Grants.gov](http://www.Grants.gov).** Applicants that do not have an Internet connection or sufficient computing capacity to upload large documents (files) to the Internet may contact ACF for an exemption that will allow these applicants to submit an application in paper format. Information on requesting an exemption from electronic application submission is found in *Section IV.2. Application Submission Options*.

**The deadline for electronic application submission is 11:59 p.m., ET, on the due date listed in the Overview and in Section IV.3. Submission Dates and Times. Electronic applications submitted to [www.Grants.gov](http://www.Grants.gov) after 11:59 p.m., ET, on the due date, as indicated by a dated and time-stamped email from [www.Grants.gov](http://www.Grants.gov), will be disqualified from competitive review and from funding under this announcement.** That is, applications submitted to [www.Grants.gov](http://www.Grants.gov), on or after 12:00 a.m., ET, on the day after the due date will be disqualified from competitive review and from funding under this announcement.

**Please Note:** Applications submitted to [www.Grants.gov](http://www.Grants.gov) at any time during the open application period, and prior to the due date and time, which fail the Grants.gov validation check, will not be received at ACF. These applications will not be acknowledged. Applications that fail the Grants.gov validation check are not transmitted to ACF though they may have been submitted on time.

Each time an application is submitted via [www.Grants.gov](http://www.Grants.gov), the application will receive a new date and time-stamp email. Only those applications with on-time date and time stamps that result in a validated application, which are transmitted to ACF, will be acknowledged.

**The deadline for receipt of paper applications is 4:30 p.m., ET, on the due date listed in the Overview and in Section IV.3. Submission Dates and Times. Paper applications received after 4:30 p.m., ET, on the due date will be disqualified from competitive review and from funding under this announcement.**

**Paper applications received from applicants that have not requested an exemption from required electronic submission will be disqualified from competitive review and from funding under this announcement. See "Request an Exemption from Required Electronic Application Submission" in Section IV.2. Content and Form of Application Submission.**

Applications that are disqualified under any of these circumstances will receive written notification by letter or by email.

Read and observe the formatting instructions for application submissions in *Section IV.2. Content and Form of Application Submission*.

## Section IV. Application and Submission Information

### IV.1. Address to Request Application Package

Seth Hassett  
Administration for Children and Families  
Office of Community Services  
Grant Operations Center

1400 Key Boulevard, Suite 910  
Arlington, VA 22209  
Phone: (800) 281-9519  
Email: [OCS@lcgnet.com](mailto:OCS@lcgnet.com)

**Electronic Application Submission:**

The electronic application submission package is available at [www.Grants.gov](http://www.Grants.gov).

**Applications in Paper Format:**

For applicants that have received an exemption to submit applications in paper format, Standard Forms, assurances, and certifications are available at the ACF Funding Opportunities Forms webpage at [http://www.acf.hhs.gov/grants/grants\\_resources.html](http://www.acf.hhs.gov/grants/grants_resources.html). See *Section IV.2. Request an Exemption from Required Electronic Application Submission* if applicants do not have an Internet connection or sufficient computing capacity to upload large documents (files) to [www.Grants.gov](http://www.Grants.gov).

**Standard Forms that are compliant with Section 508 of the Rehabilitation Act (29 U.S.C. § 794d):**

Available at the [Grants.gov Forms Repository](http://www.Grants.gov) website and at [http://www.whitehouse.gov/omb/grants\\_forms](http://www.whitehouse.gov/omb/grants_forms).

**Federal Relay Service:**

Hearing-impaired and speech-impaired callers may contact the Federal Relay Service for assistance at 1-800-877-8339 (TTY - Text Telephone or ASCII - American Standard Code For Information Interchange).

## Section IV.2. Content and Form of Application Submission

### FORMATTING ACF APPLICATIONS

**For All ACF Applications:**

**Authorized Organizational Representative (AOR)**

The individual(s), named by the applicant/recipient organization, who is authorized to act for the applicant/recipient and to assume the obligations imposed by the Federal laws, regulations, requirements, and conditions that apply to grant applications or awards.

Each applicant must designate an Authorized Organizational Representative (AOR). An AOR is named by the applicant, and is authorized to act for the applicant, to assume the obligations imposed by the Federal laws, regulations, requirements, and conditions that apply to the grant application or awards.

AOR Authorization is part of the registration process at [www.Grants.gov](http://www.Grants.gov) where the AOR will create a short profile and obtain a username and password from the Grants.gov Credential Provider. AORs will only be authorized for the DUNS number registered in the Central Contractor Registration (CCR).

**Point of Contact**

In addition to the AOR, a point of contact on matters involving the application must also be identified. The point of contact, known as the Project Director or Principal Investigator, should not be identical to the person identified as the AOR. The point of contact must be available to answer any questions pertaining to the application.

## Application Checklist

Applicants may refer to *Section VIII. Other Information* for a checklist of application requirements that may be used in developing and organizing application materials. Details concerning acknowledgment of received applications are available in *Section IV.3. Submission Dates and Times* of this announcement.

**Follow the instructions provided in the formatting section to ensure that your application can be printed efficiently and consistently for the competitive review.**

### Observe page limitations.

All applicants must follow the instructions provided in this section. Be sure to print all attachments (components) on paper and count the number of pages before submission. Keep the printed copy as a hard copy of your application for your files.

### Application Package Components

Applications must be divided into the sections listed in the table. (The order in which components are submitted electronically via [www.Grants.gov](http://www.Grants.gov) or included in a paper application may not be the same as listed in the table.) Page limitations apply to the Project Description document and the Appendices and the following:

- The Project Summary/Abstract is limited to one single-spaced page.
- The Budget Justification should be no more than 10 single-spaced pages and will not count against page limitations.

| Application Package Components                          | Page Limitations   |
|---|--|
| Required Standard Forms (SFs) and/or OMB-approved Forms | No page limitations.   |
| Required Certifications and Assurances                  | No page limitations.   |
| Project Summary/Abstract                                | Limited to one single-spaced page.   |
| Project Description                                     | Page Limitations and included items are listed later in this section.            |
| Budget Justification                                    | No more than 10 single-spaced pages and will not count against page limitations. |
| Proof of Legal Status/Proof of Non-Profit Status        | No page limitations.   |
| Appendices  | Page Limitations and included items are listed later in this section.            |

## ELECTRONIC APPLICATIONS SUBMITTED VIA [www.Grants.gov](http://www.Grants.gov):

**Notice: The Administration for Children and Families has implemented required electronic application submission via [www.Grants.gov](http://www.Grants.gov). Applicants are now required to submit their applications electronically unless they have requested and received an exemption that will allow submission in paper format. See Section IV.2. Application Submission Options.**

Electronic applications will only be accepted via [www.Grants.gov](http://www.Grants.gov). ACF will not accept applications submitted via email or via facsimile. Only applications, which pass the Grants.gov validation check, will be acknowledged.

**Please read this section carefully before beginning application submission.** It is mandatory to follow the instructions provided in this section to ensure that your application can be printed efficiently and consistently for review.

### Copies Required

Applicants must submit one complete copy of the application package electronically. Applicants submitting electronic applications need not provide additional copies of their application package.

**NOTE:** Applications submitted via [www.Grants.gov](http://www.Grants.gov) will undergo a validation check. See *Section IV.2. Application Submission Options* and *Section IV.3. Submission Due Dates and Times, Explanation of Due Dates*. The validation check can affect whether the application is accepted for review. Applications that fail the [www.Grants.gov](http://www.Grants.gov) validation check will not be transmitted to ACF. If the application fails the validation check and is not resubmitted by 11:59 p.m., ET, on the due date, it will be disqualified.

### Signatures

Follow the AOR Authorization and E-Biz POC instructions provided at [www.Grants.gov](http://www.Grants.gov).

### Required OMB-Approved and Standard Forms (SFs)

[www.Grants.gov](http://www.Grants.gov) provides its own protocols for the submission of OMB-approved and Standard Forms (SFs) such as the SF-424 application and budget forms and the SF-P/PSL, Project/Performance Site Location form. See *Section IV.2. Required Forms, Assurances, and Certifications* for required OMB-approved Standard Forms and required assurances and certifications.

### Application Package Components

Applications must be divided into the sections listed in the table. **It is important that each component is submitted in a separate electronic file.** Page limitations apply to the Project Description document and the Appendices and the following:

- The Project Summary/Abstract is limited to one single-spaced page.
- The Budget Justification should be no more than 10 single-spaced pages.

| Application Package Components                          | Page Limitations   |
|---|--|
| Required Standard Forms (SFs) and/or OMB-approved Forms | No page limitations.   |
| Required Certifications and Assurances                  | No page limitations.   |
| Project Summary/Abstract                                | Limited to one single-spaced page.   |
| Project Description                                     | Page Limitations and included items are listed later in this section.            |
| Budget Justification                                    | No more than 10 single-spaced pages and will not count against page limitations. |
| Proof of Legal Status/Proof of Non-Profit Status        | No page limitations.   |
| Appendices  | Page Limitations and included items are listed later in this section.            |



The required content of the Project Description and any Appendices, and their page limits, are listed later in this section.

With the exception of the required Standard Forms (SFs), all application materials must be formatted so that they will print out onto 8 ½" x 11" white paper with 1-inch margins. **All pages of the application component, i.e., Project Description, Budget Justification, Appendices, must be sequentially numbered.** Applicants should print all attachments on paper and count the number of pages before submitting the application. Applicants should keep a hard copy of the submitted application package for their files. The font size on any scanned documents must be large enough so that it is readable.

All elements of the application submission, with the exception of the one-page Project Summary/Abstract, the Budget Justification, required Assurances and Certifications, and proof of legal status/non-profit status, must be in double-spaced format in 12-point font. The Project Summary/Abstract is required to be one single-spaced page in 12-point font. The Budget Justification may be single-spaced page in 12-point font and should be no more than 10 pages. The font size on any scanned documents must be large enough so that it is readable.

**Applicants must follow the instructions provided in this section:**

**Carefully observe the file naming conventions required by [www.Grants.gov](http://www.Grants.gov).**

Limit file names to 50 characters and do not use special characters (example: &,-,\*,%/,#) including periods (.), blank spaces, and accent marks, within application form fields, and file attachment names. An underscore (\_) may be used to separate a file name.

**Use only file formats supported by ACF.**

It is critical that applicants only submit application components using the supported file formats listed here. Documents in file formats that are not supported by ACF will be removed from the application and will not be used in the competitive review. This may make the application incomplete and ACF will not make any awards based on an incomplete application.

**ACF supports the following file formats:**

- Adobe PDF – Portable Document Format (.pdf)
- Microsoft Word (.doc or .docx)
- Microsoft Excel (.xls or .xlsx)
- Microsoft PowerPoint (.ppt)
- Corel WordPerfect (.wpd)
- Image Formats (.JPG, .GIF, .TIFF, or .BMP only)

**Do not encrypt or password protect the electronic application files!**

If ACF cannot access submitted electronic files because they have been encrypted or are password protected, the affected file will be removed from the application and will not be used in the competitive review. This may make the application incomplete and ACF will not make any awards based on an incomplete application.

## **PAPER APPLICATION SUBMISSIONS:**

**The following requirements are only applicable to applications submitted in paper format.**

**Applicants must receive an exemption from ACF in order to submit an application in paper format.**

See *Section IV.2. Request an Exemption from Required Electronic Application Submission* later in this section under *Application Submission Options*.

| Application Package Components | Page Limitations |
|--------------------------------|------------------|
|--------------------------------|------------------|

|   |  |
|---|--|
| Required Standard Forms (SFs) and/or OMB-approved Forms | No page limitations.   |
| Required Certifications and Assurances                  | No page limitations.   |
| Project Summary/Abstract                                | Limited to one single-spaced page.   |
| Project Description                                     | Page Limitations and included items are listed later in this section.            |
| Budget Justification                                    | No more than 10 single-spaced pages and will not count against page limitations. |
| Proof of Legal Status/Proof of Non-Profit Status        | No page limitations.   |
| Appendices  | Page Limitations and included items are listed later in this section.            |

### **Copies Required**

Applicants must provide one original and two copies of all application materials when submitting an application in paper format.

### **Signatures**

An original signature of the AOR is required only on the original copy of paper application submissions. A point of contact on matters involving the application must also be identified on the SF-424 at item 8f. The point of contact, known as the Project Director or Principal Investigator, should not be identical to the person identified as the AOR.

### **Format Requirements for Paper Applications**

Applicants must follow the instructions provided in this section.

All application materials must be submitted on 8 ½" x 11" white paper with 1-inch margins. **All pages of the paper application submission must be sequentially numbered.** Application materials must be printed on one side only of each page so that they may be easily reproduced. If two-sided pages are submitted, only the "front" page will be used.

All elements of the application submission, with the exception of the one-page Project Summary/Abstract, the Budget Justification, required Assurances and Certifications, and proof of legal status/non-profit status, must be in double-spaced format in 12-point font. The Project Summary/Abstract is required to be one single-spaced page in 12-point font. The Budget Justification may be single-spaced, in 12-point font, and should be no more than 10 pages. The font size on any scanned documents must be large enough so that it is readable.

All copies of a mailed or hand-delivered paper application must be submitted in a single package. A separate package must be submitted for application under a single funding opportunity. The package must be clearly labeled for the specific funding opportunity it is addressing.

Because each application will be duplicated, do not use or include separate covers, binders, clips, tabs, plastic inserts, maps, brochures, or any other items that cannot be processed easily on a photocopy machine with an automatic feed. Do not bind, clip, staple, or fasten in any way separate subsections of the application, including supporting documentation. Use a clip (not a staple) to securely bind the application together. Applicants are advised that the copies of the application submitted, not the original, will be



reproduced by the Federal government for review. Application materials must be one-sided for duplication purposes.

Instructions on the order of assembly for paper application submissions are available under this formatting section.

### **Addresses for Submission of Paper Applications**

See *Section IV.6. Other Submission Requirements* for addresses for paper application submissions.

### **Page Limitations for Paper Format Application Submissions**

Page limitations do not include OMB-approved Standard Forms (SFs), the one-page Project Summary/Abstract, proof of legal status/non-profit status, required Assurances and Certifications, and the Budget Justification, which should be no more than 10 single-spaced pages.

If an application exceeds the cited page limitation for double-spaced pages in the Project Description or the double-spaced page limitation cited for the Appendices, the extra pages will be removed and will not be reviewed. In addition, if an application narrative is single-spaced and/or one-and-a-half spaced (in whole or in part) the total number of these lines will be doubled. This adjustment may result in an increased total number of pages, which will be removed so that the application conforms to the cited double-spaced page limitation.

The Project Summary/Abstract is limited to one single-spaced page with 12-point font. Any pages over the one-page limit will be removed.

### **Page Limitations and Content of The Project Description and Appendices for All Application Formats:**

**The Project Description is limited to 50 pages and must include the following:**

- Table of Contents
- Objectives and Need for Assistance
- Outcomes Expected
- Approach
- Evaluation
- Logic Model
- Dissemination Plan

**Appendices are limited to 50 pages and must include the following:**

- Organizational charts
- Board of Directors
- Financial statements adhering to Generally Accepted Accounting Principles (GAAP)
- Contact persons and telephone numbers
- Documentation of experience in the program area
- Any other pertinent information the applicant deems relevant

### **Tips for Preparing a Competitive Application**

It is essential that applicants read the entire funding opportunity announcement carefully before preparing an application and include all of the required application forms and attachments. The application must reflect a thorough understanding of the purpose and objectives of the applicable legislation.

Reviewers expect applicants to understand the goals of the legislation and OCS interest in each topic. A "responsive application" is one that addresses all of the evaluation criteria in ways that demonstrate this

understanding. Applications that are considered to be "unresponsive" generally receive very low scores and are rarely funded.

#### **Required Forms, Assurances, and Certifications**

**Applicants seeking grant or cooperative agreement awards under this announcement must submit the listed Standard Forms (SFs), assurances, and certifications with the application.** All required Standard Forms, assurances, and certifications are available at [ACF Funding Opportunities Forms](#) or at the [Grants.gov Forms Repository](#) unless specified otherwise.

| <b>Forms / Assurances / Certifications</b>   | <b>Submission Requirement</b>  | <b>Notes / Description</b>  |
|--|--|---|
| <b>SF-424 - Application for Federal Assistance and SF-P/PSL - Project/Performance Site Location(s)</b>               | Submission is required for all applicants by the application due date.   | Required for all applications.  |
| <b>Certification Regarding Lobbying</b>  | Submission required of all applicants with the application package. If it is not submitted with the application package, it may also be submitted prior to the award of a grant.   | Submission of this Certification is required for all applications.  |
| <b>Survey on Ensuring Equal Opportunity for Applicants</b>   | <b>Submission is voluntary.</b> Submission may be made with the application by the application due date listed in the <i>Overview</i> and <i>Section IV.3. Submission Dates and Times</i> . Or, it may be submitted prior to the award of a grant. | Non-profit private organizations (not including private universities) are encouraged to submit the survey with their applications. Submission of the survey is voluntary. Applicants applying electronically may submit the survey along with the application as part of an appendix or as a separate document. Hard copy submissions should include the survey in a separate envelope. |
| <b>SF-424A - Budget Information - Non-Construction Programs and SF-424B - Assurances - Non-Construction Programs</b> | Submission is required for all applicants when applying for a non-construction project. Standard Forms must be used. Forms must be submitted by the application due date.  | Required for all applications when applying for a non-construction project. By signing and submitting the SF-424B, applicants are making the appropriate certification of their compliance with all Federal statutes relating to nondiscrimination.   |

|   |  |  |
|---|--|--|
| <b>SF-LLL - Disclosure of Lobbying Activities</b> | <p>If submission of this form is applicable, it is due prior at the time of application. It may also be submitted prior to the award of a grant.</p> | <p>If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the applicant shall complete and submit the SF-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Applicants must furnish an executed copy of the Certification Regarding Lobbying prior to award.</p> |
|---|--|--|

## PROGRAM ASSURANCES

The acceptance of funds for projects responsive to this funding opportunity announcement will signify the applicant's assurance that it will comply with the following requirements:

- Provide an abstract narrative (one-page limit) and comprehensive description of the exemplary practice(s), taking into account the goals of the CSBG National T/TA Strategy provided in *Section I. Funding Opportunity Description*.
- Identify and compile citations related to any legal issues referenced and or addressed.
- Develop training tools to support T/TA efforts that address legal issues including, but not limited to, a Web-accessible guidebook that focuses on *Exemplary Legal Practices and Policies that Address Factors Related to Risk Mitigation and Organizational Stability*. At a minimum, the guidebook must address the goals of the CSBG National T/TA Strategy provided in *Section I. Funding Opportunity Description*, and include applicable citations to Federal statutory requirements and regulations (e.g. CSBG Act, OMB Circulars).

Successful applicants will be subject to reporting requirements as provided in 45 C.F.R. 96.17 and *Section VI.3* of this announcement.

## Implementation and Consultation Process

- Within one month (30 days) of receiving a Notice of Award (NoA), the project director must participate in a call with the identified OCS program liaison staff member responsible for oversight of the cooperative agreement. During this period, the OCS program liaison staff member will provide updates on any new project requirements. The OCS program liaison staff member may also facilitate a call or conference call with the project director(s) for the CSBG Center(s) of Excellence to discuss expected areas of coordination and collaboration.
- Within two months (60 days) of receiving a NoA, the project director will submit an implementation plan based on the expectations of the cooperative agreement, program updates, and information provided by the OCS program liaison staff.
- Within three months (90 days) of receiving a NoA, the project director and other key staff of the regional consortia must participate in an implementation planning meeting in Washington, D.C. or via teleconference with the Federal Project Officer and other OCS staff. Details of the project implementation plan and cooperative agreement will be discussed during this teleconference.
- The awardee should be prepared to make an oral presentation to OCS staff that describes and

defends the project implementation plan. Applicants are advised to propose one project staff members for up to 2 days, to make the presentation.

### **Identification of Federal Support**

Whenever T/TA projects are either entirely or partially supported by CSBG funds, the CSBG T/TA provider (grantee) must clearly identify the associated activities, services, or resources as part of the National T/TA Strategy for Promoting Exemplary Practices and Risk Mitigation for CSBG. Furthermore, the grantee should include a certification statement as follows:

*"This publication was created by [grantee organization name] in the performance of the U.S. Department of Health and Human Services, Administration for Children and Families, Office of Community Services, Community Services Block Grant, Grant Number [90ETXXXX]. Any opinion, findings, and conclusions, or recommendations expressed in this material are those of the author(s) and do not necessarily reflect the views of the U.S. Department of Health and Human Services, Administration for Children and Families."*

### **Participation in a Web-Based Technical Assistance Coordination System**

As a component of this cooperative agreement, and as stated in *Section IV.2 Project Description*, participation in the *CSBG T/TA Resource Center* will assure that all State CSBG Lead Agencies and CSBG-eligible entities have access to updated national information on evidence-based and evidence-informed service approaches.

### **Non-Federal Reviewers**

Since ACF will be using non-Federal reviewers in the review process, applicants have the option of omitting from the application copies (not the original) specific salary rates or amounts for individuals specified in the application budget as well as Social Security Numbers, if otherwise required for individuals. The copies may include summary salary information. If applicants are submitting their application electronically, ACF will omit the same specific salary rate information from copies made for use during the review and selection process.

## **The Project Description**

### **The Project Description Overview**

The project description provides the majority of information by which an application is evaluated and ranked in competition with other applications for available assistance. The project description should be concise and complete. It should address the activity for which Federal funds are being requested. Supporting documents should be included where they can present information clearly and succinctly. In preparing the project description, information that is responsive to each of the requested evaluation criteria must be provided. Awarding offices use this and other information in making their funding recommendations. It is important, therefore, that this information be included in the application in a manner that is clear and complete.

### **General Expectations and Instructions**

ACF is particularly interested in specific project descriptions that focus on outcomes and convey strategies for achieving intended performance. Project descriptions are evaluated on the basis of substance and measurable outcomes, not length. Extensive exhibits are not required. Cross-referencing should be used rather than repetition. Supporting information concerning activities that will not be directly funded by the grant or information that does not directly pertain to an integral part of the grant-funded activity should be placed in an appendix.

### **General Instructions for Preparing a Full Project Description**

## **Introduction**

Applicants that are required to submit a full project description shall prepare the project description statement in accordance with the following instructions while being aware of the specified evaluation criteria. The topics listed in this section provide a broad overview of what the project description should include while the Criteria in *Section V.1.* identify the measures that will be used to evaluate applications.

## **Table of Contents**

List the contents of the application including corresponding page numbers.

## **Project Summary/Abstract**

Provide a summary of the application's project description. The summary must be clear, accurate, concise, and without reference to other parts of the application. The abstract must include a brief description of the proposed grant project including the needs to be addressed, the proposed services, and the population group(s) to be served.

Please place the following at the top of the abstract:

- Project Title
- Applicant Name
- Address
- Contact Phone Numbers (Voice, Fax)
- E-Mail Address
- Web Site Address, if applicable

The project abstract must be single-spaced and limited to one page in length.

## **Objectives And Need For Assistance**

Clearly identify the physical, economic, social, financial, institutional, and/or other problem(s) requiring a solution. The need for assistance, including the nature and scope of the problem, must be demonstrated, and the principal and subordinate objectives of the project must be clearly and concisely stated. Supporting documentation, such as letters of support and testimonials from concerned interests other than the applicant, may be included. Any relevant data based on planning studies or needs assessments should be included or referred to in the endnotes/footnotes. Incorporate demographic data and participant/beneficiary information, as needed. In developing the project description, the applicant may volunteer or be requested to provide information on the total range of projects currently being conducted and supported (or to be initiated), some of which may be outside the scope of the funding opportunity announcement.

## **Outcomes Expected**

Identify the outcomes to be derived from the project.

Based on the Goals of the CSBG National T/TA Strategy provided in *Section I. Funding Opportunity Description*, describe in detail how the proposed project demonstrates the applicant's ability to:

- Mitigate legal risks associated with the use of CSBG grant funds;
- Promote exemplary legal practices and innovative programming that stimulates the creation and sharing of information and knowledge in the CSBG T/TA Network;
- Work with States, CSBG Regional Performance and Innovation Consortia (RPIs) grantees, and State Associations of Community Action Agencies to help ensure CSBG-eligible entity boards know, understand, and meet their legal and fiduciary responsibilities to CSBG (i.e., participation in the development, planning, implementation, and evaluation of CSBG-funded activities and services);

and

- Ensure the management and delivery of CSBG-funded services within the legal parameters of the CSBG Act, applicable Federal regulations, and OCS program guidance.

In describing the outcomes expected, demonstrate how the proposed project will meet T/TA needs on a nationwide basis. Explain how the proposed activities will help address immediate T/TA needs, as well as the ways in which creation of an enhanced infrastructure will help OCS address long-term T/TA needs related to legal issues in the CSBG Network.

## **Approach**

Outline a plan of action that describes the scope and detail of how the proposed work will be accomplished. Account for all functions or activities identified in the application. Cite factors that might accelerate or decelerate the work and state your reason for taking the proposed approach rather than other approaches. Describe any unusual features of the project such as design or technological innovations, reductions in cost or time, or extraordinary social and community involvement.

Provide quantitative monthly or quarterly projections of the outcomes to be achieved for each function or activity in such terms as the number of people to be served and the number of activities accomplished.

Data may be organized and presented as project tasks and subtasks with their corresponding timelines during the project period. For example, each project task could be assigned to a row in the first column of a grid. Then, a unit of time could be assigned to each subsequent column, beginning with the first unit (i.e., week, month, quarter) of the project and ending with the last. Shading, arrows, or other markings could be used across the applicable grid boxes or cells, representing units of time, to indicate the approximate duration and/or frequency of each task and its start and end dates within the project period.

When accomplishments cannot be quantified by activity or function, list them in chronological order to show the schedule of accomplishments and their target dates.

Provide a list of organizations, cooperating entities, consultants, or other key individuals who will work on the project, along with a short description of the nature of their effort or contribution.

## **OVERALL STRATEGY AND PROJECT INFRASTRUCTURE**

Provide a two-year plan of action that outlines planned activities for legal T/TA focused on:

- (a) Organizational Stability and Support** for CSBG-eligible entities experiencing significant fiscal or organizational challenges that may threaten the organization's ability to continue operations, including consultation focused on entities that are considering legal options for strategic restructuring, shared administrative or service arrangements, or organizational mergers with other CSBG-eligible entities or other community non-profit organizations;
- (b) Education and Training** to ensure legally sound program management among CSBG-eligible entities that require assistance in responding to new Federal or State laws and regulations, or in addressing specific legal needs in areas such as employment law, legal issues associated with financial management, non-profit governance, and oversight by tripartite governing boards; and
- (c) Promoting Exemplary Legal Practices and Policies** at State and local levels, including plans for toolkits, model policies, and self-assessment tools to assure organizational practices and policies promote legal accountability and innovative approaches to addressing community needs.

Outline plans to: provide legal technical assistance consultation to State CSBG lead agencies and CSBG-eligible entities regarding prevalent legal issues in CSBG; conduct in-depth assessments of the legal practices and policies; identify knowledge gaps and barriers related to Organizational Stability and Support, Education and Training, Promoting Exemplary Legal Practices and Policies, and Knowledge

Management and Sustainability; and develop an infrastructure that addresses the long-term T/TA needs of the CSBG Network.

## **ADMINISTRATIVE, FISCAL, AND PROGRAMMATIC ISSUES**

Describe the proposed approach to working with OCS, State CSBG Lead Agencies, CSBG-eligible entities and leading national organizations associated with CSBG to address challenging legal issues that have been shown to significantly impact administrative, fiscal, and programmatic policies and operating procedures. The two-year plan of work must include feasible and specific approaches for identifying and promoting organizational actions that increase the likelihood of successfully implementing exemplary legal practices and policies (e.g. training to ensure leadership and staff expertise, agency policies and operational procedures, and other organizational efforts to ensure legal compliance with the CSBG Act and other applicable Federal and State legal requirements for CSBG grant funds).

In addition, describe the proposed two-year approach for assisting State CSBG Lead Agencies and CSBG-eligible entities in identifying and implementing corrective action approaches to address program deficiencies in areas of legal compliance. Describe plans for assisting CSBG-eligible entities in conveying key CSBG legal and regulatory requirements to new and prospective staff, leadership, and board members.

## **ADMINISTRATIVE RESTRUCTURING AND MERGERS**

Describe the proposed approach and two-year plan for training and technical assistance activities focused on the needs of CSBG-eligible entities that are considering options for strategic restructuring, shared administrative or service arrangements, or mergers. This plan must focus on the unique technical assistance needs of CSBG-eligible entities that are seeking to restructure or merge operations, and must include: a) a theoretical framework for approaching strategic restructuring and merger issues in the context of CSBG; b) analysis of tripartite board compliance issues in the context of operational mergers; c) analysis of potential changes to the share of funding based on State CSBG formulas; d) analysis of potential changes in contract requirements; and e) potential changes to performance goals and reporting expectations.

Describe approaches for identifying and addressing the unique challenges for CSBG-eligible entities regarding strategic restructuring and mergers, and developing materials and training to assist State CSBG lead agencies and CSBG-eligible entities to address these unique challenges. Describe an approach for identifying examples of successful strategic restructuring, shared administration or services, or organizational mergers among eligible entities in CSBG that may provide information on recommended approaches. Describe areas of analysis, key legal recommendations, and recommended planning and implementation approaches that should be considered for CSBG-eligible entities and State CSBG lead agencies when reviewing options for mergers of CSBG eligible-entities.

## **PROJECT COORDINATION**

Discuss a two-year plan for web-based coordination of technical assistance dissemination with other CSBG T/TA providers, including the State Performance Management Clearinghouse, and the Risk Mitigation and Quality Improvement T/TA Center. Describe plans and mechanisms to involve specific national, State, and local organizations in the identification and documentation of legal exemplary practices and policies, which have the capacity to assess their relevance.

OCS considers CSBG T/TA providers an integral part of the CSBG T/TA Network. To help ensure CSBG achieves sustainable and systemic change that improves the overall administration of CSBG by State CSBG Lead Agencies, CSBG-eligible entities, and other CSBG T/TA Network partners, each CSBG T/TA provider is expected to:

- Support the goals of the National T/TA Strategy for CSBG;
- Collaborate with other national T/TA providers, including Centers of Excellence, to help maximize CSBG resources;
- Communicate with other national T/TA providers to help ensure the seamless provision of T/TA to

States and CSBG-eligible entities;

- Consult with national T/TA provider(s), OCS, and Regional Performance and Innovation Consortia grantees as needed, to be responsive to the needs of States and CSBG-eligible entities; and
- Coordinate projects with other national T/TA efforts so that project activities complement one another.

The two-year plan of work should be developed and structured to assure coordination with this larger national strategy. While the primary focus of T/TA efforts supported through this cooperative agreement is on addressing legal needs at local community levels, an enhanced national strategy will include strong coordination with State CSBG Lead Agencies and Regional Performance and Innovation Consortia (RPIs). As a block grant to States, the CSBG statute speaks to OCS' role with States and States' role with CSBG-eligible entities. The States' role of oversight and accountability is key to the administration and success of this program. In addition, many States utilize discretionary resources available to them through CSBG to support extensive T/TA efforts. A key focus for the successful grantee under this funding opportunity announcement will be to recommend strategies for enhanced coordination of T/TA supported at Federal, State, and community levels to assure coordination of organizational stability and support, education and training, exemplary legal practices and policies, and knowledge management and sustainability across the CSBG Network.

Activities allowed under this grant include, but are not limited to, the following:

- Development of educational materials and T/TA documents such as "toolkits" for addressing specific legal issues or concerns;
- Workshops and training events;
- Webinars and T/TA conference calls;
- Analytical projects to review legal issues affecting CSBG-eligible entities; and
- Development of strategic plans and recommendations to OCS regarding ongoing T/TA needs in the CSBG Network.

Applicants must demonstrate the capacity to provide nationwide T/TA to the CSBG Network, and must demonstrate a clear understanding of the legal issues and needs of CSBG-eligible entities.

If any data are to be collected, maintained, and/or disseminated, clearance may be required from the Office of Management and Budget (OMB). This clearance pertains to any "collection of information that is conducted or sponsored by ACF."

### **Participation in a Web-Based Technical Assistance Coordination System**

The applicant must describe a preliminary plan for participation in a Web-based technical assistance coordination system, or *CSBG T/TA Resource Center*, which is operated by grantees under the Risk Mitigation and Quality Improvement T/TA Center and the State Performance Management Clearinghouse program. Participation in the *CSBG T/TA Resource Center* will assure that all State CSBG Lead Agencies and CSBG-eligible entities have access to updated national information on evidence-based and evidence-informed service approaches.

### **Evaluation**

Provide a narrative addressing how the conduct of the project and its results will be evaluated. In addressing the evaluation of results, state what measures will be used to determine the extent to which the project has achieved its stated objectives and the extent to which the accomplishment of objectives can be attributed to the project. Discuss the criteria to be used to evaluate results, and explain the methodology that will be used to determine if the needs identified and discussed are being met and if the project results and benefits are being achieved. With respect to the conduct of the project, define the procedures to be employed to determine whether the project is being conducted in a manner consistent with the work plan presented and discuss the impact of the project's various activities that address the project's effectiveness.



## **Legal Status of Applicant Entity**

Applicants must provide the following documentation of their legal status:

### **Proof of Non-Profit Status**

Non-profit organizations applying for funding are required to submit proof of their non-profit status. Proof of non-profit status is any one of the following:

- A reference to the applicant organization's listing in the IRS's most recent list of tax-exempt organizations described in the IRS Code.
- A copy of a currently valid IRS tax-exemption certificate.
- A statement from a State taxing body, State attorney general, or other appropriate State official certifying that the applicant organization has non-profit status and that none of the net earnings accrue to any private shareholders or individuals.
- A certified copy of the organization's certificate of incorporation or similar document that clearly establishes non-profit status.
- Any of the items in the subparagraphs immediately above for a State or national parent organization and a statement signed by the parent organization that the applicant organization is a local non-profit affiliate.

When applying electronically, proof of non-profit status may be submitted as an attachment; however, proof of non-profit status must be submitted prior to award.

### **Logic Model**

Applicants are expected to use a model for designing and managing their project. A logic model is a tool that presents the conceptual framework for a proposed project and explains the linkages among program elements. While there are many versions of the logic model, they generally summarize the logical connections among the needs that are the focus of the project, project goals and objectives, the target population, project inputs (resources), the proposed activities/processes/outputs directed toward the target population, the expected short- and long-term outcomes the initiative is designed to achieve, and the evaluation plan for measuring the extent to which proposed processes and outcomes actually occur.

### **Organizational Capacity**

- Organizational charts
- Board of Directors
- Financial statements adhering to Generally Accepted Accounting Principles (GAAP)
- Contact persons and telephone numbers
- Documentation of experience in the program area
- Any other pertinent information the applicant deems relevant.

Provide a biographical sketch or resume for each key person appointed. Resumes should be no more than two pages in length. Job descriptions for each vacant key position should be included as well. As new key staff are appointed, biographical sketches or resumes will also be required.

### **Protection of Sensitive and/or Confidential Information**

If any confidential or sensitive information will be collected during the course of the project, whether from staff (e.g., background investigations) or project participants and/or project beneficiaries, provide a description of the methods that will be used to ensure that confidential and/or sensitive information is properly handled and safeguarded. Also provide a plan for the disposition of such information at the end of the project period.

### **Dissemination Plan**

Provide a plan for distributing reports and other project outputs to colleagues and to the public. Applicants must provide a description of the method, volume, and timing of distribution.

## Letters Of Support

Provide statements from community, public, and commercial leaders that support the project proposed for funding. All submissions should be included in the application package or by the application deadline.

## The Project Budget and Budget Justification

All applicants are required to submit a project budget and budget justification with their application. The project budget is input on the Budget Information Standard Form, either SF-424A or SF-424C. The budget justification is a line-item detail that includes detailed calculations for "object class categories" identified on the Budget Information Standard Form. Calculations must include estimation methods, quantities, unit costs, and other similar quantitative detail sufficient for the calculation to be duplicated. If matching or cost sharing is a requirement, applicants must include a detailed listing of any funding sources identified in Block 18 of the SF-424 (Application for Federal Assistance).

Project budget Standard Forms and the budget justification will not count toward page limitations; however, the justification should be no more than 10 single-spaced pages with fonts of no less than 12-points.

**Special Note:** *The Consolidated Appropriations Act, 2012 (Pub.L. 112-74), enacted December 23, 2011, limits the salary amount that may be awarded and charged to ACF grants and cooperative agreements. Award funds issued under this announcement may not be used to pay the salary, or any percentage of salary, to an individual at a rate in excess of Executive Level II. The Executive Level II salary of the Federal Executive Pay scale is \$179,700 (<http://www.opm.gov/oca/12tables/html/ex.asp>). This amount reflects an individual's base salary **exclusive** of fringe and any income that an individual may be permitted to earn outside of the duties to the applicant organization. This salary limitation also applies to subawards/subcontracts under a ACF grant or cooperative agreement.*

Provide a narrative budget justification for the first year of the proposed project. The narrative budget justification should describe how the categorical costs are derived. Discuss the necessity, reasonableness, and allocation of the proposed costs.

The budget and narrative budget justification for the first 12-month budget period of the project should also include funding for at least one key staff person to attend and present at one of the 2012-2013 CSBG T/TA Network partner conferences (e.g., National Association for State Community Services Programs Fall Conference).

## General

Use the following guidelines for preparing the budget and budget justification. Both Federal and non-Federal resources (when required) shall be detailed and justified in the budget and budget narrative justification. "Federal resources" refers only to the ACF grant funds for which you are applying. "Non-Federal resources" are all other non-ACF Federal and non-Federal resources. It is suggested that budget amounts and computations be presented in a columnar format: first column, object class categories; second column, Federal budget; next column(s), non-Federal budget(s); and last column, total budget. The budget justification should be in a narrative form.

## Personnel

Description: Costs of employee salaries and wages.

Justification: Identify the project director or principal investigator, if known at the time of application. For each staff person, provide: the title; time commitment to the project in months; time commitment to the project as a percentage or full-time equivalent; annual salary; grant salary; wage rates; etc. Do not include the costs of consultants, personnel costs of delegate agencies, or of specific project(s) and/or businesses to be financed by the applicant.

### **Fringe Benefits**

Description: Costs of employee fringe benefits unless treated as part of an approved indirect cost rate.

Justification: Provide a breakdown of the amounts and percentages that comprise fringe benefit costs such as health insurance, Federal Insurance Contributions Act (FICA) taxes, retirement insurance, taxes, etc.

### **Travel**

Description: Costs of project-related travel by employees of the applicant organization. (This item does not include costs of consultant travel).

Justification: For each trip show: the total number of traveler(s); travel destination; duration of trip; per diem; mileage allowances, if privately owned vehicles will be used to travel out of town; and other transportation costs and subsistence allowances. If appropriate for this project, travel costs for key staff to attend ACF-sponsored workshops should be detailed in the budget.

### **Equipment**

Description: "Equipment" means an article of nonexpendable, tangible personal property having a useful life of more than one year and an acquisition cost that equals or exceeds the lesser of: (a) the capitalization level established by the organization for the financial statement purposes, or (b) \$5,000. (Note: Acquisition cost means the net invoice unit price of an item of equipment, including the cost of any modifications, attachments, accessories, or auxiliary apparatus necessary to make it usable for the purpose for which it is acquired. Ancillary charges, such as taxes, duty, protective in-transit insurance, freight, and installation, shall be included in, or excluded from, acquisition cost in accordance with the organization's regular written accounting practices.)

Justification: For each type of equipment requested provide: a description of the equipment; the cost per unit; the number of units; the total cost; and a plan for use on the project; as well as use and/or disposal of the equipment after the project ends. An applicant organization that uses its own definition for equipment should provide a copy of its policy, or section of its policy, that includes the equipment definition.

### **Supplies**

Description: Costs of all tangible personal property other than that included under the Equipment category.

Justification: Specify general categories of supplies and their costs. Show computations and provide other information that supports the amount requested.

### **Contractual**

**Description:** Costs of all contracts for services and goods except for those that belong under other categories such as equipment, supplies, construction, etc. Include third-party evaluation contracts, if applicable, and contracts with secondary recipient organizations, including delegate agencies and specific project(s) and/or businesses to be financed by the applicant.

**Justification:** Demonstrate that all procurement transactions will be conducted in a manner to provide, to the maximum extent practical, open and free competition. Recipients and subrecipients, other than States that are required to use 45 C.F.R. Part 92 procedures, must justify any anticipated procurement action that is expected to be awarded without competition and exceeds the simplified acquisition threshold fixed at 41 U.S.C. § 403(11), currently set at \$100,000. Recipients may be required to make pre-award review and procurement documents, such as requests for proposals or invitations for bids, independent cost estimates, etc. available to ACF.

**Note:** Whenever the applicant intends to delegate part of the project to another agency, the applicant must provide a detailed budget and budget narrative for each delegate agency, by agency title, along with the same supporting information referred to in these instructions.

### **Other**

**Description:** Enter the total of all other costs. Such costs, where applicable and appropriate, may include but are not limited to: local travel; insurance; food; medical and dental costs (noncontractual); professional services costs; space and equipment rentals; printing and publication; computer use; training costs, such as tuition and stipends; staff development costs; and administrative costs.

**Justification:** Provide computations, a narrative description and a justification for each cost under this category.

### **Indirect Charges**

**Description:** Total amount of indirect costs. This category should be used only when the applicant currently has an indirect cost rate approved by the Department of Health and Human Services (HHS) or another cognizant Federal agency.

**Justification:** An applicant that will charge indirect costs to the grant must enclose a copy of the current rate agreement. If the applicant organization is in the process of initially developing or renegotiating a rate, upon notification that an award will be made, it should immediately develop a tentative indirect cost rate proposal based on its most recently completed fiscal year, in accordance with the cognizant agency's guidelines for establishing indirect cost rates, and submit it to the cognizant agency. Applicants awaiting approval of their indirect cost proposals may also request indirect costs. When an indirect cost rate is requested, those costs included in the indirect cost pool should not be charged as direct costs to the grant. Also, if the applicant is requesting a rate that is less than what is allowed under the program, the authorized representative of the applicant organization must submit a signed acknowledgement that the applicant is accepting a lower rate than allowed.

### **Paperwork Reduction Disclaimer**

As required by the Paperwork Reduction Act, 44 U.S.C. §§ 3501-3520, the public reporting burden for the Project Description is estimated to average 40 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection information. The Project Description information collection is approved under OMB control number 0970-0139, which expires 11/30/2012. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

## Application Submission Options

### Electronic Submission via [www.Grants.gov](http://www.Grants.gov)

- Electronic applications must be submitted to [www.Grants.gov](http://www.Grants.gov) by 11:59 p.m., ET, on the due date.
- A DUNS Number and current registration at the Central Contractor Registry (CCR) are required. DUNS and CCR registration are part of the [www.Grants.gov](http://www.Grants.gov) registration process. See “Get Registered” at [http://grants.gov/applicants/get\\_registered.jsp](http://grants.gov/applicants/get_registered.jsp).
- ACF will not accept applications via facsimile or email.
- The electronic application can be downloaded from [www.Grants.gov](http://www.Grants.gov).
- It is to an applicant's advantage to submit their applications **at least 24 hours** in advance of the application due date and time in order to correct any failures found during the application validation check.
- Electronic submission at [www.Grants.gov](http://www.Grants.gov) is two-step process:
  - Submission by the due date and time; and
  - Application validation check.
- Electronically submitted applications will not pass the validation check at Grants.gov if the AOR does not have a current CCR registration and electronic signature credentials.
- **Read and observe all application submission requirements provided at [http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp).**
- Observe the formatting requirements and page limitations provided in the *Section IV.2. Formatting ACF Applications* section for electronic applications.
- Carefully read and observe electronic file naming conventions provided in the application submission instructions at [http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp).
- Use only file formats supported by ACF. See *Section IV.2. Formatting ACF Applications*.
- Additional guidance on the submission of electronic applications can be found at <http://www.grants.gov/assets/Organization Steps Complete Registration.pdf>.
- If applicants encounter any technical difficulties in using [www.Grants.gov](http://www.Grants.gov), contact the Grants.gov Contact Center at: 1-800-518-4726, or by email at [support@grants.gov](mailto:support@grants.gov), to report the problem and obtain assistance. Hours of Operation: 24 hours a day, 7 days a week. The Grants.gov Contact Center is closed on Federal holidays.
- Applicants should retain Grants.gov Contact Center service ticket number(s) as they may be needed for future reference.
- Applicants that submit their applications electronically should retain a hard copy of their application package.
- **Contact with the Grants.gov Contact Center prior to the listed due date and time does not ensure acceptance of your application. If difficulties are encountered, the Grants Management Officer listed in *Section VII. Agency Contacts* will determine whether the submission issues are due to Grants.gov system errors or user error.**

### Application Validation at [www.Grants.gov](http://www.Grants.gov)

After an applicant submits an application, Grants.gov generates a submission receipt via email and also sets the application status to "Received." This receipt verifies the application has been successfully delivered to the Grants.gov system.

Next, Grants.gov verifies the submission is valid by ensuring it does not contain viruses, the funding opportunity announcement is still open, and that the applicant login and applicant DUNS number match. If the submission is valid, Grants.gov generates a submission validation receipt via email and sets the application status to "Validated."

If the application is not validated, the application status is set to "Rejected." The system sends a rejection email notification to the applicant and the applicant must re-submit the application package. See ["What to](#)

[Expect After Submitting"](#) at [www.Grants.gov](http://www.Grants.gov) for more information.

Each time an application is submitted, or re-submitted, via [www.Grants.gov](http://www.Grants.gov), the application will receive a new date and time stamp. Only those applications with on-time date and time stamps, which result in a validated application, and is transmitted to ACF, will be acknowledged.

Applicants will be provided with an acknowledgement from [www.Grants.gov](http://www.Grants.gov) that the submitted application package has passed, or failed, a series of checks and validations. Applications that are submitted on time that fail the validation check will not be transmitted to ACF and will not be acknowledged.

### **Request an Exemption from Required Electronic Application Submission**

ACF recognizes that some applicants may have limited or no Internet access, and/or limited computer capacity, which may prohibit them from uploading large files to the Internet at [www.Grants.gov](http://www.Grants.gov). To accommodate such applicants, ACF offers an exemption from required electronic submission. The exemption will allow applicants to submit hard copy, paper applications by hand-delivery, applicant courier, overnight/express mail couriers, or by other representatives of the applicant.

To receive an exemption from required electronic application submission, applicants must submit a written request to ACF stating that the applicant qualifies for the exemption for one of two reasons:

- Lack of Internet access or Internet connection, or
- Limited computer capacity that prevents the uploading of large documents (files) to the Internet at [www.Grants.gov](http://www.Grants.gov).

Applicants may request and receive the exemption from required electronic application submission by either:

- Submitting an email request to [electronicappexemption@acf.hhs.gov](mailto:electronicappexemption@acf.hhs.gov), or
- Sending a written request to the Office of Grants Management Contact listed in *Section VII. Agency Contacts* in this announcement.

An exemption is applicable to all applications submitted by the applicant organization during the Federal Fiscal Year (FFY) in which it is received. Applicants need only request an exemption once in a FFY. Applicants will need to request a new exemption from required electronic submission for any succeeding FFY.

**Please Note:** [electronicappexemption@acf.hhs.gov](mailto:electronicappexemption@acf.hhs.gov) may be used only to request an exemption from required application submission. All other inquiries must be directed to the appropriate Agency Contact listed in *Section VII.* of this announcement. Queries submitted to this email address that make requests for any reason other than a request for an exemption will not be acknowledged or answered.

Exemption requests by email to [electronicappexemption@acf.hhs.gov](mailto:electronicappexemption@acf.hhs.gov) and by postal mail must include:

- Funding Opportunity Announcement Title,
- Funding Opportunity Number (FON),
- The listed Catalog of Federal Domestic Assistance (CFDA) number,
- Name of Applicant Organization and DUNS Number,
- AOR name and contact information,
- Name and contact information of person to be contacted on matters involving the application, and
- The reason for which the applicant is requesting an exemption from electronic application submission. The reason must be either the lack of Internet access or connection, or lack of computer capacity that prevents uploading large documents (files) to the Internet.

Exemption requests must be **received by** ACF no later than two weeks before the application due date, that is, 14 calendar days prior to the application due date listed in the *Overview* and in *Section IV.3. Submission Dates and Times*. If the fourteenth calendar day falls on a weekend or Federal holiday, the due date for receipt of an exemption request will move to the next Federal business day that follows the weekend or Federal holiday.

Applicants may refer to *Section VIII. Other Information* for a checklist of application requirements that may be used in developing and organizing application materials. Details concerning acknowledgment of received applications are available in *Section IV.3. Submission Dates and Times* of this announcement.

### **Paper Format Application Submission**

**An exemption is now required for the submission of paper applications. See "*Request an Exemption from Required Electronic Application Submission*."**

Applicants with exemptions that submit their applications in paper format, by mail or delivery, must submit one original and two copies of the complete application with all attachments. The original and each of the two copies must include all required forms, certifications, assurances, and appendices, be signed by the AOR, and be unbound. The original copy of the application must have original signature(s). See *Section IV.6* of this announcement for address information for paper format application submissions.

Applications submitted in paper format must show a DUNS Number. A DUNS Number is a nine-digit number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify business entities. A DUNS number may be acquired at no cost online at <http://www.dnb.com>. To acquire a DUNS number by phone, contact the D&B Government Customer Response Center: U.S. and U.S Virgin Islands: 1-866-705-5711; Alaska and Puerto Rico: 1-800-234-3867 (Select Option 2, then Option 1). Monday through Friday 7 a.m. to 8 p.m., CST.

As of October 1, 2010, all applicants for Federal grants and cooperative agreements, including those that apply in paper format, are required to have Central Contractor Registration (CCR). CCR registration is also required for organizations that will receive subawards under Federal grants and cooperative agreements. CCR registration may be made online at [www.ccr.gov](http://www.ccr.gov) or by phone at 1-866-606-8220.

CCR registration must be updated annually from the date of the initial registration. CCR registration is required to be active throughout the period of award. Lack of CCR registration will prevent ACF from making an award to a recommended applicant.

**There is the possibility of heavy traffic at the CCR website on application due dates. Applicants are strongly encouraged to register at the CCR well in advance of the application due date. CCR registration must be active and maintained with current information at all times during which an organization has an active award or an application under consideration.**

Applicants may refer to *Section VIII. Other Information* for a checklist of application requirements that may be used in developing and organizing application materials. Details concerning acknowledgment of received applications are available in *Section IV.3. Submission Dates and Times* in this announcement.

### **IV.3. Submission Dates and Times**

Due Date for Applications: **06/26/2012**



## Explanation of Due Dates

The due date for receipt of applications is listed in the *Overview* section and in this section. See *Section III.3. Application Disqualification Factors*.

## Electronic Applications

The deadline for submission of electronic applications via [www.Grants.gov](http://www.Grants.gov) is 11:59 p.m., ET, on the due date. Electronic applications submitted at 12:00 a.m., ET, on the day after the due date will be considered late and will be disqualified from competitive review and from funding under this announcement.

Applicants are required to submit their applications electronically via [www.Grants.gov](http://www.Grants.gov) unless they received an exemption through the process described in *Section IV.2. Request an Exemption from Required Electronic Application Submission*.

ACF does not accommodate transmission of applications by email or facsimile.

Instructions for electronic submission via [www.Grants.gov](http://www.Grants.gov) are available at [http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp).

### Please note:

Applications submitted to [www.Grants.gov](http://www.Grants.gov) at any time during the open application period, and prior to the due date and time that fail the Grants.gov validation check will not be received at ACF. **These applications will not be acknowledged.** Applications that fail the Grants.gov validation check will not be transmitted to ACF though they may have been submitted on time.

Each time an application is submitted via [www.Grants.gov](http://www.Grants.gov), the application will receive a new date and time-stamp. Only those applications with date and time-stamps that result in a validated application, which is transmitted to ACF, will be acknowledged.

## Mailed Paper Format Applications

The deadline for mailed paper applications is 4:30 p.m., ET, on the due date. Mailed paper applications received after the due date and deadline time will be considered late and will be disqualified from competitive review and from funding under this announcement.

Paper format application submissions will be disqualified if the applicant organization has not received an exemption through the process described in *Section IV.2. Request an Exemption from Required Electronic Application Submission*.

## Hand-Delivered Paper Format Applications

Applications that are hand-delivered by applicants, applicant couriers, by overnight/express mail couriers, or other representatives of the applicant must be received on, or before, the due date listed in the *Overview* and in this section. These applications must be delivered between the hours of 8:00 a.m. and 4:30 p.m., ET, Monday through Friday (excluding Federal holidays). Applications should be delivered to the address provided in *Section IV.6. Other Submission Requirements*.

Hand-delivered paper applications received after the due date and deadline time will be considered late and will be disqualified from competitive review and from funding under this announcement.

Hand-delivered paper format application submissions will be disqualified if the applicant organization has



not received an exemption through the process described in *Section IV.2. Request an Exemption from Required Electronic Application Submission*.

**No appeals will be considered for applications classified as late under the following circumstances:**

- Applications submitted electronically via [www.Grants.gov](http://www.Grants.gov) are considered late when they are dated and time-stamped after the deadline of 11:59 p.m., ET, on the due date.
- Paper format applications received by mail or hand-delivery after 4:30 p.m., ET, on the due date will be classified as late and will be disqualified.
- Paper format applications received from applicant organizations that were not approved for an exemption from required electronic application submission under the process described in *Section IV.2. Request an Exemption from Required Electronic Submission* will be disqualified.

**Extensions and/or Waiving Due Date and Receipt Time Requirements**

ACF may extend an application due date and receipt time when circumstances make it impossible for applicants to submit their applications on time. These events include natural disasters (floods, hurricanes, tornados, etc.), or when there are widespread disruptions of electrical service, or mail service, or in other rare cases. The determination to extend or waive due date and/or receipt time requirements rests with the Grants Management Officer listed as the Office of Grants Management Contact in *Section VII. Agency Contacts*.

**Acknowledgement from [www.Grants.gov](http://www.Grants.gov) of an electronic application's submission:**

Applicants will receive an initial email upon submission of their application to [www.Grants.gov](http://www.Grants.gov). This email will provide a **Grants.gov Tracking Number**. Applicants should refer to this tracking number in all communication with Grants.gov. The email will also provide a **date and time stamp**, which serves as the official record of the application's submission. The date and time-stamp must reflect a submission time on, or before, 11:59 p.m., ET, on the application due date. Receipt of this email does not indicate that the application is accepted or that it has passed the validation check.

Each time an application is submitted, or resubmitted, via [www.Grants.gov](http://www.Grants.gov), the application will receive a new date and time-stamp. Only those applications with on-time date and time-stamps that result in a validated application, which is transmitted to ACF, will be acknowledged.

Applicants will be provided with an acknowledgement from [www.Grants.gov](http://www.Grants.gov) that the submitted application package has passed, or failed, a series of checks and validations. Applications that are submitted on time that fail the validation check will not be transmitted to ACF and will not be acknowledged.

See "[What to Expect After Submitting](#)" at [www.Grants.gov](http://www.Grants.gov) for more information.

**Acknowledgement from ACF of an electronic application's submission:**

Applicants will be sent additional email(s) from ACF acknowledging that the application has been retrieved from [www.Grants.gov](http://www.Grants.gov) by ACF. Receipt of these emails is not an indication that the application is accepted for competition.

**Acknowledgement from ACF of a paper format (hard copy) application's submission:**

ACF will not provide acknowledgement of receipt of hard copy application packages submitted via mail or courier services.

#### **IV.4. Intergovernmental Review of Federal Programs**

This program is covered under Executive Order (E.O.) 12372, "Intergovernmental Review of Federal Programs," and 45 CFR Part 100, "Intergovernmental Review of Department of Health and Human Services Programs and Activities." Under the Executive Order, States may design their own processes for reviewing and commenting on proposed Federal assistance under covered programs.

Applicants should go to the following URL for the official list of the jurisdictions that have elected to participate in E.O. 12372 [http://www.whitehouse.gov/omb/grants\\_spoc/](http://www.whitehouse.gov/omb/grants_spoc/).

Applicants from participating jurisdictions should contact their SPOC, as soon as possible, to alert them of their prospective applications and to receive instructions on their jurisdiction's procedures. Applicants must submit all required application materials to the SPOC and indicate the date of submission on the Standard Form (SF) 424 at item 19.

Under 45 CFR 100.8(a)(2), a SPOC has 60 days from the application due date to comment on proposed new awards.

SPOC comments may be submitted directly to ACF to: U.S. Department of Health and Human Services, Administration for Children and Families, Office of Grants Management, Division of Discretionary Grants, 370 L'Enfant Promenade SW., 6th Floor East, Washington, DC 20447.

Entities that meet the eligibility requirements of this announcement are still eligible to apply for a grant even if a State, Territory or Commonwealth, etc., does not have a SPOC or has chosen not to participate in the process. Applicants from non-participating jurisdictions need take no action with regard to E.O. 12372. Applications from Federally-recognized Indian Tribal governments are not subject to E.O. 12372.

#### **IV.5. Funding Restrictions**

Costs of organized fund raising, including financial campaigns, endowment drives, solicitation of gifts and bequests, and similar expenses incurred solely to raise capital or obtain contributions, are considered unallowable costs under grants or cooperative agreements awarded under this funding opportunity announcement.

Grant awards will not allow reimbursement of pre-award costs.

Construction is not an allowable activity or expenditure under this grant award.

Cooperative agreement funds may not be used to cover costs incurred in connection with any criminal, civil, or administrative proceeding commenced by the Federal Government or a State, or local government if the proceeding relates to a violation of, or failure to comply with, a Federal, State or local statute or regulation by the organization and results in the imposition of a monetary penalty or a final decision to debar or suspend the organization, rescind or void an award, or to terminate an award (OMB Circular A-122, Att. B, paragraph 10.(a)2, 2 CFR Part 230, App. B, paragraph 10.b.). Moreover, costs of legal, accounting, and consultant services, and related costs, incurred "in connection with defense against Federal Government claims or appeals . . . or the prosecution of claims or appeals against the Federal Government, are unallowable" (OMB Circular A-122, Att. B, paragraph 10.7, 2 CFR Part 230, App. B, paragraph 10.g.).

#### ***Subcontracting or Delegating Projects***

OCS will not fund any project where the role of the applicant is primarily to serve as a conduit for funds to organizations other than the applicant. The applicant must have a substantive role in the implementation of the project for which funding is requested. This prohibition does not bar the making of subcontracts for

specific services or activities that are needed to conduct the project.

### ***Public Access to Work Products Free of Charge***

All publications, written products, toolkits, webinars, and educational materials developed using grant funds must be free of charge to CSBG-eligible entities. The grantee may not charge fees for training activities. However, the grantee may provide training at conferences or activities that include a registration fee, as long as the activity or workshop is part of a larger conference agenda and no specific or additional fees are charged to participate in the workshop. In addition, State or local recipients may support travel expenses of the grantee to provide on-site training tools upon notifying their Federal OCS program liaison staff.

## **IV.6. Other Submission Requirements**

Submit paper applications to one of the following addresses. See *Section IV.2. Request an Exemption from Required Electronic Application Submission*.

### **Submission By Mail**

U.S. Department of Health and Human Services  
Administration for Children and Families  
Office of Community Services  
Grant Operations Center  
1400 Key Boulevard, Suite 910  
Arlington, VA 22209

### **Hand Delivery**

U.S. Department of Health and Human Services  
Administration for Children and Families  
Office of Community Services  
Grant Operations Center  
1400 Key Boulevard, Suite 910  
Arlington, VA 22209

### **Electronic Submission**

See *Section IV.2* for application requirements and for guidance when submitting applications electronically via <http://www.Grants.gov>.

For all submissions, see *Section IV.3* for information on due dates and times.

## **V. Application Review Information**

### **V.1. Criteria**

Applications competing for financial assistance will be reviewed and evaluated using the criteria described in this section. The corresponding point values indicate the relative importance placed on each review criterion. Points will be allocated based on the extent to which the application proposal addresses each of the criteria listed. Applicants should address these criteria in their application materials, particularly in the project description and budget justification, as they are the basis upon which competing applications will be judged during the objective review.

Application components may be organized such that a reviewer will be able to follow a seamless and logical flow of information (i.e., from a broad overview of the project, to more detailed information about how it will be conducted).

The required elements of the project description and budget justification may be found in *Section IV.2* of this announcement.

## **OBJECTIVES AND NEED FOR ASSISTANCE**

**Maximum Points: 15**

- (1) The applicant clearly demonstrates an understanding of the need for CSBG-eligible entities, State CSBG Lead Agencies, State Community Action Agency Associations, and other local service providers to be provided with T/TA related, or in response to legal issues. Data or other strong evidence for the project is directly related to the issues noted in *Section I: Funding Opportunity Description*.
- (2) The applicant clearly demonstrates an awareness and knowledge of current literature and understanding of legal practices and policies that enhance the administrative, financial, and program operations of organizations with characteristics similar to CSBG-eligible entities (e.g. non-profit service providers, and public community/social service agencies, such as county agencies).
- (3) The applicant clearly illustrates an understanding of the legal issues facing the State CSBG Lead Agencies and CSBG-eligible entities, and the current status of existing exemplary legal practices and policies. This discussion must include legal issues related to identifying potential fiscal and organizational risks, assessing and responding to legal issues, and implementing innovative activities and services that align with the goals of the CSBG National T/TA Strategy outlined in *Section I. Funding Opportunity Description*. Moreover, the applicant illustrates an understanding of the legal issues related to enhancing administrative, financial, and program operations, and clarifying the roles and responsibilities of CSBG-eligible entity tripartite boards.
- (4) The applicant demonstrates a thorough understanding of the need for identifying and documenting exemplary legal practices and policies, and how they will help ensure the long-term success and sustainability of CSBG Network efforts.
- (5) The applicant describes a thorough understanding of the unique technical assistance needs of CSBG-eligible entities that are seeking to restructure or merge operations, including: a) a theoretical framework for approaching strategic restructuring and merger issues in the context of CSBG; b) tripartite board compliance issues in the context of operational mergers; c) potential changes to the share of funding based on State CSBG formulas; d) changes in contract requirements; and e) changes to performance goals and reporting expectations.

## **RESULTS OR BENEFITS EXPECTED**

**Maximum Points: 15**

- (1) The applicant thoroughly describes how the two-year project will ensure long-term program and management improvements and legal accountability for CSBG-eligible entities, State CSBG Lead Agencies, and/or other local providers of CSBG services and activities.
- (2) The applicant indicates the number of organizations and/or staff members that will benefit from proposed T/TA services.
- (3) The applicant describes how the project will contribute to promoting exemplary legal practices and policies that State CSBG Lead Agencies and other CSBG Network members can reference for guidance, insight, and possible replication.
- (4) The applicant describes a two-year work plan that demonstrates the ability to document the number and types of participants and the capacity to secure participant feedback on proposed T/TA activities.
- (5) The overall project goals and objectives, and the plans and procedures for achieving them, are well developed. Goals and objectives parallel those of the logic model.

## ORGANIZATIONAL CAPACITY

Maximum Points: 15

- (1) The applicant provides details and an explanation of the organization and/or any cooperating or sponsoring agency's ability and capacity to provide services on a nationwide basis.
- (2) The applicant provides resumes and job descriptions demonstrating the expertise of the proposed project director and primary staff members. The applicant is clear concerning what involvement, leadership, experience, and commitment each staff member has to the project. Where key staff has not yet been identified, the applicant has provided a description of the specific and relevant qualifications of the person(s) to be employed.
- (3) The applicant has provided job descriptions with clearly defined responsibilities, qualifications, salary ranges, anticipated time commitments, and the location(s) of each position.
- (4) If subcontractors are proposed, the applicant has documented the willingness and ability of the subcontracting organization(s) to provide proposed services, and includes the specific qualifications and professional experiences of key staff that will perform the proposed subcontract project activities.

## APPROACH

Maximum Points: 50

### STRATEGY AND INFRASTRUCTURE (10 points)

- (1) The applicant describes clear and feasible strategies that specify key components of Organizational Stability and Support, Education and Training, Promoting Exemplary Legal Practices and Policies, and Knowledge Management and Sustainability.
- (2) The applicant defines a clear two-year plan of work that demonstrates a capacity for developing and maintaining an infrastructure for ongoing legal T/TA within the CSBG Network focused on:
  - (a) **Organizational Stability and Support** for CSBG-eligible entities experiencing significant fiscal or organizational challenges that may threaten the organization's ability to continue operations, including consultation focused on entities that are considering legal options for strategic restructuring, shared administrative or service arrangements, or organizational mergers with other CSBG-eligible entities or other community non-profit organizations;
  - (b) **Education and Training** to ensure legally sound program management among CSBG-eligible entities that require assistance in responding to new Federal or State laws and regulations, or in addressing specific legal needs in areas such as employment law, legal issues associated with financial management, non-profit governance, and oversight by tripartite governing boards; and
  - (c) **Promoting Exemplary Legal Practices and Policies** at State and local levels, including plans for toolkits, model policies, and self-assessment tools to assure organizational practices and policies promote legal accountability and innovative approaches to addressing community needs.
- (3) The applicant describes a clear two-year plan of work that has the ability to:
  - (a) Provide legal technical assistance consultation to State CSBG lead agencies and CSBG-eligible entities regarding prevalent legal issues in CSBG;
  - (b) Conduct in-depth assessment of the legal practices and policies;
  - (c) Identify knowledge gaps and barriers related to Organizational Stability and Support, Education and Training, Promoting Exemplary Legal Practices and Policies, and Knowledge Management and Sustainability; and
  - (d) Develop an infrastructure that addresses the long-term T/TA needs of the CSBG Network.

### ADMINISTRATIVE, FISCAL, AND PROGRAMATIC TECHNICAL ASSISTANCE (15 Points)

- (1) The applicant describes a clear and thorough two-year plan of work that demonstrates the ability to

identify, assess, and document exemplary legal practices and policies regarding administrative, fiscal, and programmatic policies and operational procedures, and describes how the applicant will identify, assess, and document exemplary legal practices and policies regarding administrative, fiscal, and programmatic policies and operational procedures.

(2) The plan of work includes a feasible approach to working with OCS, State CSBG Lead Agencies, CSBG-eligible entities, and leading national organizations associated with CSBG to deal with challenging legal issues that have been shown to significantly impact the administrative, fiscal, and programmatic policies and operating procedures.

(3) The plan includes feasible and specific approaches for identifying and promoting organizational characteristics that increase the likelihood of successfully implementing exemplary legal practices and policies (e.g. training to ensure leadership and staff expertise, agency policies and operational procedures, and other organizational efforts to ensure legal compliance with the CSBG Act and other applicable Federal and State legal requirements for CSBG grant funds).

(4) The plan of work includes feasible approaches for assisting State CSBG Lead Agencies and CSBG-eligible entities in identifying and implementing corrective action approaches to address program deficiencies in areas of legal compliance.

(5) The plan of work includes a feasible plan for assisting CSBG-eligible entities to successfully convey key CSBG legal and regulatory requirements to new and prospective staff, leadership, and board members.

#### **ADMINISTRATIVE RESTRUCTURING AND MERGERS (15 Points)**

(1) The two-year plan of work includes a thorough and feasible approach to training and technical assistance activities focused on the needs of CSBG-eligible entities that are considering options for strategic restructuring, shared administrative or service arrangements, or mergers. This work plan focuses on the unique technical assistance needs of CSBG-eligible entities that are seeking to restructure or merge operations, and includes: a) a theoretical framework for approaching strategic restructuring and merger issues in the context of CSBG; b) analysis of tripartite board compliance issues in the context of operational mergers; c) analysis of potential changes to the share of funding based on State CSBG formulas; d) analysis of potential changes in contract requirements; and e) potential changes to performance goals and reporting expectations.

(2) The plan includes feasible and specific approaches for identifying and addressing the unique challenges for CSBG-eligible entities regarding strategic restructuring and mergers, and developing materials and training to assist State CSBG lead agencies and CSBG-eligible entities to address these unique challenges.

(3) The plan includes feasible approaches for identifying successful examples of strategic restructuring, shared administration or services, or organizational mergers among eligible entities in CSBG that may provide information on recommended approaches.

(4) The plan clearly identifies areas of analysis, key legal recommendations, and recommended planning and implementation approaches that should be considered for CSBG-eligible entities and State CSBG lead agencies when reviewing options for mergers of CSBG eligible-entities.

#### **RESULTS-ORIENTED APPROACH (10 Points)**

(1) The applicant's proposed logic model demonstrates the capacity to link the project objectives, approach, and expected results.

(2) The applicant describes a work plan that demonstrates a results-oriented approach that supports the legislative mandate for CSBG.

(3) The applicant describes a work plan that demonstrates the capacity to address and achieve specific



performance targets and outcomes, including a discussion of how the project will verify the achievement of these targets and outcomes.

(4) The applicant describes a work plan that includes web-based coordination of technical assistance dissemination with other CSBG T/TA providers, including the State Performance Management Clearinghouse, and the Risk Mitigation and Quality Improvement Technical Assistance Center.

(5) The applicant describes a work plan that is designed to involve specific national, State, and local organizations in the identification and documentation of legal exemplary practices and policies, and has the capacity to assess their relevance.

## **BUDGET AND BUDGET JUSTIFICATION**

**Maximum Points: 5**

**The applicant provides a comprehensive budget reflecting the first 12-month budget period that:**

(1) Describes how proposed project expenditures (i.e. budget) align with proposed project activities and demonstrates that the resources requested are reasonable and adequate to accomplish the project;

(2) Describes how the total costs of the project are reasonable and consistent with anticipated results; and

(3) Includes funding and a justification for at least one key staff person to attend and present at one of the 2012-2013 CSBG T/TA Network partner conferences (e.g., National Association for State Community Services Programs Fall Conference).

## **V.2. Review and Selection Process**

No grant award will be made under this announcement on the basis of an incomplete application. No grant award will be made to an applicant that does not have an active CCR registration ([www.ccr.gov](http://www.ccr.gov) or 1-866-606-8220).

### **Initial ACF Screening**

Each application will be screened to determine whether it meets one of the following disqualification criteria as described in *Section III.3. Application Disqualification Factors*:

- Applications that are designated as late according to *Section IV.3. Submission Dates and Times*,
- Applications that are submitted in paper format without prior approval of an exemption from required electronic submission (*Section IV.2. Request an Exemption from Required Electronic Application Submission*), or
- Applications with requests that exceed the award ceiling stated in *Section II. Award Information*.

For those applications that have been disqualified under the initial ACF screening, notice will be provided by postal mail or by email. See *Section IV.3. Explanation of Due Dates* for information on Grants.gov's and ACF's acknowledgment of received applications.

### **Objective Review and Results**

Applications competing for financial assistance will be reviewed and evaluated by objective review panels using the criteria described in *Section V.1. Criteria* of this announcement. Each panel is composed of experts with knowledge and experience in the area under review. Generally, review panels include three reviewers and one chairperson.

Results of the competitive objective review are taken into consideration by ACF in the selection of projects for funding; however, objective review scores and rankings are not binding. They are one element

in the decision-making process.

ACF may elect not to fund applicants with management or financial problems that would indicate an inability to successfully complete the proposed project. Applications may be funded in whole or in part. Successful applicants may be funded at an amount lower than that requested. ACF reserves the right to consider preferences to fund organizations serving emerging, unserved, or under-served populations, including those populations located in pockets of poverty. ACF will also consider the geographic distribution of Federal funds in its award decisions.

### ***OCS Evaluation of Applications***

An objective review panel composed of non-Federal reviewers will review and rate applications that pass the Federal screen-out process based on disqualification factors presented in this program announcement.

The evaluation criteria enable the review panel to assess the quality of a proposed project and determine the likelihood of its success. The criteria are closely related to each other and the panel considers them as a whole in judging the overall quality of an application. The review panel awards points only to applications that are responsive to the program elements and relevant evaluation criteria within the context of this funding opportunity announcement. The OCS Director and the program staff members use the panel reviewer scores when considering competing applications. Reviewer scores will weigh heavily in funding decisions, but will not be the only factors considered.

During the selection process, OCS will generally consider applications in order of the average scores assigned by the review panel. Because OCS takes other important factors into consideration, highly ranked applications are not guaranteed funding. These other considerations include the timely and proper completion by the applicant of projects funded with OCS funds granted in the last five years; comments of panel reviewers and government officials; OCS staff evaluation and input; amount and duration of the cooperative agreement requested and the proposed project's consistency and harmony with OCS goals and policy; geographic distribution of applications; previous program performance of applicants; compliance with cooperative agreement terms and conditions under previous HHS cooperative agreement(s); audit reports; investigative reports; and an applicant's progress in resolving any final audit disallowances on previous OCS or other Federal agency grants.

Please refer to *Section IV.2.* of this announcement for information on non-Federal reviewers in the review process.

### **Approved but Unfunded Applications**

Applications recommended for approval that were not funded under the competition because of the lack of available funds may be held over by ACF and reconsidered in a subsequent review cycle if a future competition under the program area is planned. These applications will be held over for a period of up to one year and will be recompeted for funding with all other competing applications in the next available review cycle. For those applications that have been deemed as approved but unfunded, notice will be given of such determination by postal mail.

## **V.3. Anticipated Announcement and Award Dates**

Not applicable.

## **VI. Award Administration Information**

### **VI.1. Award Notices**



Successful applicants will be notified through the issuance of a Notice of Award (NoA) that sets forth the amount of funds granted, the terms and conditions of the grant, the effective date of the grant, the budget period for which initial support will be given, the non-Federal share to be provided (if applicable), and the total project period for which support is contemplated. The NoA will be signed by the Grants Officer and transmitted via postal mail or email. Following the finalization of funding decisions, organizations whose applications will not be funded will be notified by letter signed by the cognizant Program Office head. Any other correspondence that announces to a Principal Investigator, or a Project Director, that an application was selected is not an authorization to begin performance.

Project costs that are incurred prior to the receipt of the NoA are at the recipient's risk and may be reimbursed only to the extent that they are considered allowable as approved pre-award costs. Information on allowable pre-award costs and the time period under which they may be incurred is available in *Section IV.5. Funding Restrictions*.

## **VI.2. Administrative and National Policy Requirements**

Awards issued under this announcement are subject to the uniform administrative requirements and cost principles of 45 C.F.R. Part 74 (Awards And Subawards To Institutions Of Higher Education, Hospitals, Other Nonprofit Organizations, And Commercial Organizations) or 45 C.F.R. Part 92 (Grants And Cooperative Agreements To State, Local, And Tribal Governments). The Code of Federal Regulations (C.F.R.) is available at <http://www.gpo.gov>.

An application funded with the release of Federal funds through a grant award does not constitute, or imply, compliance with Federal regulations. Funded organizations are responsible for ensuring that their activities comply with all applicable Federal regulations.

### **Prohibition Against Profit**

Grantees are subject to the limitations set forth in 45 C.F.R. Part 74, Subpart E-Special Provisions for Awards to Commercial Organizations (45 C.F.R. Part 74.81\_Prohibition against profit), which states that, "... no HHS funds may be paid as profit to any recipient even if the recipient is a commercial organization. Profit is any amount in excess of allowable direct and indirect costs."

### **Equal Treatment for Faith-Based Organizations**

Grantees are also subject to the requirements of 45 C.F.R. Part 87.1(c), Equal Treatment for Faith-Based Organizations, which says, "Organizations that receive direct financial assistance from the [Health and Human Services] Department under any Department program may not engage in inherently religious activities such as religious instruction, worship, or proselytization as part of the programs or services funded with direct financial assistance from the Department." Therefore, organizations must take steps to completely separate the presentation of any program with religious content from the presentation of the Federally funded program by time or location *in such a way that it is clear that the two programs are separate and distinct*. If separating the two programs by time but presenting them in the same location, one program must *completely* end before the other program begins.

A faith-based organization receiving HHS funds retains its independence from Federal, State, and local governments, and may continue to carry out its mission, including the definition, practice, and expression of its religious beliefs. For example, a faith-based organization may use space in its facilities to provide secular programs or services funded with Federal funds without removing religious art, icons, scriptures, or other religious symbols. In addition, a faith-based organization that receives Federal funds retains its authority over its internal governance, and it may retain religious terms in its organization's name, select its

board members on a religious basis, and include religious references in its organization's mission statements and other governing documents in accordance with all program requirements, statutes, and other applicable requirements governing the conduct of HHS funded activities.

Regulations pertaining to the Equal Treatment for Faith-Based Organizations, which includes the prohibition against Federal funding of inherently religious activities, "Understanding the Regulations Related to the Faith-Based and Neighborhood Partnerships Initiative" are available at <http://www.hhs.gov/partnerships/about/regulations/>. Additional information, resources, and tools for faith-based organizations is available through The Center for Faith-based and Neighborhood Partnerships website at <http://www.hhs.gov/partnerships/index.html> and at the [Administration for Children & Families: Toolkit for Faith-based and Community Organizations](#).

### **Award Term and Condition under the Trafficking Victims Protection Act of 2000**

Awards issued under this announcement are subject to the requirements of Section 106 (g) of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. § 7104). For the full text of the award term, go to [http://www.acf.hhs.gov/grants/award\\_term.html](http://www.acf.hhs.gov/grants/award_term.html). If you are unable to access this link, please contact the Grants Management Contact identified in *Section VII. Agency Contacts* of this announcement to obtain a copy of the term.

### **Requirements for Drug-Free Workplace**

The Drug-Free Workplace Act of 1988 (41 U.S.C. § 8102 et seq.) requires that all organizations receiving grants from any Federal agency agree to maintain a drug-free workplace. By signing the application, the Authorizing Official agrees that the grantee will provide a drug-free workplace and will comply with the requirement to notify ACF if an employee is convicted of violating a criminal drug statute. Failure to comply with these requirements may be cause for debarment. Government wide requirements for Drug-Free Workplace for Financial Assistance are found in 2 C.F.R. part 182; HHS implementing regulations are set forth in 2 C.F.R. part 382.400. All recipients of ACF grant funds must comply with the requirements in Subpart B - Requirements for Recipients Other Than Individuals, 2 C.F.R. part 382.225. The rule is available at [Requirements for Drug-Free Workplace](#).

### **Debarment and Suspension**

HHS regulations published in 2 CFR part 376 implement the governmentwide debarment and suspension system guidance (2 CFR part 180) for HHS' non-procurement programs and activities. "Non-procurement transactions" include, among other things, grants, cooperative agreements, scholarships, fellowships, and loans. ACF implements the HHS Debarment and Suspension regulations as a term and condition of award. Grantees may decide the method and frequency by which this determination is made and may check the Excluded Parties List System (EPLS) located at <https://www.epls.gov/>, although checking the EPLS is not required. More information is available at [http://www.acf.hhs.gov/grants/grants\\_resources.html](http://www.acf.hhs.gov/grants/grants_resources.html).

### **Pro-Children Act**

The Pro-Children Act of 2001, 20 U.S.C. §§ 7181 through 7184, imposes restrictions on smoking in facilities where federally funded children's services are provided. HHS grants are subject to these requirements only if they meet the Act's specified coverage. The Act specifies that smoking is prohibited in any indoor facility (owned, leased, or contracted for) used for the routine or regular provision of kindergarten, elementary, or secondary education or library services to children under the age of 18. In addition, smoking is prohibited in any indoor facility or portion of a facility (owned, leased, or contracted for) used for the routine or regular provision of federally funded health care, day care, or early childhood

development, including Head Start services to children under the age of 18. The statutory prohibition also applies if such facilities are constructed, operated, or maintained with Federal funds. The statute does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, portions of facilities used for inpatient drug or alcohol treatment, or facilities where WIC coupons are redeemed. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1,000 per violation and/or the imposition of an administrative compliance order on the responsible entity.

## **HHS Grants Policy Statement**

The HHS Grants Policy Statement (HHS GPS) is the Department of Health and Human Services' single policy guide for discretionary grants and cooperative agreements. ACF grant awards are subject to the requirements of the HHS GPS, which covers basic grants processes, standard terms and conditions, and points of contact, as well as important agency-specific requirements. Appendices to the HHS GPS include a glossary of terms and a list of standard abbreviations for ease of reference. The general terms and conditions in the HHS GPS will apply as indicated unless there are statutory, regulatory, or award-specific requirements to the contrary that are specified in the Notice of Award (NoA). The HHS GPS is available at [http://www.acf.hhs.gov/grants/grants\\_related.html](http://www.acf.hhs.gov/grants/grants_related.html).

### **VI.3. Reporting**

Grantees under this funding opportunity announcement will be required to submit performance progress and financial reports periodically throughout the project period. The frequency of required reporting is listed later in this section. Final reports may be submitted in hard copy to the Grants Management Office Contact listed in *Section VII. Agency Contacts* of this announcement. Instructions on submission of reports electronically will be provided with award documents.

#### **Performance Progress Reports (PPR)**

ACF grantees are required to submit the SF-PPR Cover Page. ACF Program Offices that utilize reporting forms or formats in addition to, or instead of, the SF-PPR have listed the reporting requirements later in this section.

Grant award documents will inform grantees of the appropriate performance progress report form or format to use. Grantees should consult their award documents to determine the appropriate performance progress report format required under their award. Performance progress reports are due 30 days after the end of the reporting period.

Final program performance reports are due 90 days after the close of the project period. The SF-PPR may be found at [http://www.acf.hhs.gov/grants/grants\\_resources.html](http://www.acf.hhs.gov/grants/grants_resources.html).

#### **Federal Financial Reports (FFR)**

As of February 1, 2011, HHS began the transition from use of the SF-269, Financial Status Report (Short Form or Long Form) to the use of the SF-425 Federal Financial Report for expenditure reporting. SF-269s will no longer be accepted for expenditure reports due after that date. If an SF-269 is submitted, the ACF will return it and require the recipient to complete the SF-425.

The transition strategy is allowing individual HHS Operating Divisions to select--from a limited number of options--the approach that best fits their programs and business process. This transition does not affect completion or submission of the cash reporting to the HHS Division of Payment Management's Payment Management System (PMS). The primary features of this transition for recipients are that OPDIVs that

previously required electronic submission of the SF-269 will receive the SF-425 expenditure reports electronically and, until further notice, OPDIVs that have been receiving expenditure reports in hard copy will continue to do so.

All expenditure reports will be due on one of the standard due dates by which cash reporting is required to be submitted to PMS or at the end of a calendar quarter as determined by the Operating Division. As a result, a recipient that receives awards from more than one OPDIV may be subject to more than one approach, but will not be required to change its current means of submission or be subjected to more than eight standard due dates.

Beginning with budget periods which end from January 1 - March 31, 2011, and for all budget periods thereafter, all affected ACF grantees will be required to submit an SF-425 report as frequently as is required in the terms and conditions of their award using due dates for reports to PMS.

**For budget periods ending in the months of:      The FFR (SF-425) is due to ACF on:**

|                                |            |
|--------------------------------|------------|
| January 01 through March 31    | April 30   |
| April 01 through June 30       | July 30    |
| July 01 through September 30   | October 30 |
| October 01 through December 31 | January 30 |

Fillable versions of the SF-425 form in Adobe PDF and MS-Excel formats, along with instructions, are available at [http://www.whitehouse.gov/omb/grants\\_forms](http://www.whitehouse.gov/omb/grants_forms), [www.forms.gov](http://www.forms.gov), and on the [ACF Funding Opportunity Website Forms](#) page.

Further instructions will be provided, as necessary, with award terms and conditions that will address specific reporting periods and due dates on an award-by-award basis. Additional information on frequency of reporting is available on the ACF Funding Opportunities website at [http://www.acf.hhs.gov/grants/msg\\_sf425.html](http://www.acf.hhs.gov/grants/msg_sf425.html).

For planning purposes, ACF reporting periods for awards made under this announcement are as follows:

Program Progress Reports: Semi-Annually

Financial Reports: Semi-Annually

Awards issued as a result of this funding opportunity may be subject to the Transparency Act subaward and executive compensation reporting requirements of 2 C.F.R. Part 170. See ACF's [Award Term for Federal Financial Accountability and Transparency Act \(FFATA\) Subaward and Executive Compensation Reporting Requirement](#) implementing this requirement and additional award applicability information.

**SF-428 Tangible Property Report and SF-429 Real Property Status Report**

As of April 1, 2012, the Administration for Children and Families will begin requiring the use of the SF-428 (Tangible Personal Property Form) as well as the SF-429 (Real Property Status Report).

The SF-428 is a standard form to be used by awarding agencies to collect information related to tangible personal property (equipment and supplies) when required by a Federal financial assistance award. The form consists of the cover sheet (SF-428) and three attachments to be used as required: Annual Report;

Final (Award Closeout) Report and a Disposition Request/Report. A Supplemental Sheet, SF-428S, may be used to provide detailed individual item information.

The SF-429 is a standard report to be used by recipients of Federal financial assistance to report real property status (Attachment A) or to request agency instructions on real property (Attachments B, C) that was/will be provided as Government Furnished Property (GFP) or acquired (i.e., purchased or constructed) in whole or in part under a Federal financial assistance award (i.e., grant, cooperative agreement, etc.). This includes real property that was improved using Federal funds and real property that was donated to a Federal project in the form of a match or cost share donation. This report is to be used for awards that establish a Federal Interest on real property.

Beginning with budget periods ending September 30, 2012 and for all budget periods thereafter, all ACF grantees will be required to submit (as applicable) an SF-428 and SF-429 report as frequently as is required in the terms and conditions of their award.

The forms are available at [http://www.whitehouse.gov/omb/grants\\_forms](http://www.whitehouse.gov/omb/grants_forms).

## **VII. Agency Contacts**

### **Program Office Contact**

Seth Hassett  
Administration for Children and Families  
Office of Community Services  
Division of State Assistance  
Grant Operations Center  
1400 Key Boulevard, Suite 910  
Arlington, VA 22209  
Phone: (800) 281-9519  
Email: [OCS@lcgnet.com](mailto:OCS@lcgnet.com)

### **Office of Grants Management Contact**

Katrina Morgan  
Administration for Children and Families  
Division of Discretionary Grants  
Office of Community Services  
Grant Operations Center  
1400 Key Boulevard, Suite 910  
Arlington, VA 22209  
Phone: (800) 281-9519  
Email: [OCS@lcgnet.com](mailto:OCS@lcgnet.com)

## Federal Relay Service:

Hearing-impaired and speech-impaired callers may contact the Federal Relay Service for assistance at 1-800-877-8339 (TTY - Text Telephone or ASCII - American Standard Code For Information Interchange).

## VIII. Other Information

### Reference Websites

U.S. Department of Health and Human Services (HHS) on the Internet <http://www.hhs.gov/>.

Administration for Children and Families (ACF) on the Internet <http://www.acf.hhs.gov/>.

Administration for Children and Families - ACF Funding Opportunities homepage <http://www.acf.hhs.gov/grants/>.

Catalog of Federal Domestic Assistance (C.F.D.A.) <https://www.cfda.gov/>.

Code of Federal Regulations (C.F.R.) <http://www.gpo.gov>.

United States Code (U.S.C) <http://www.gpoaccess.gov/uscode/>.

All required Standard Forms, assurances, and certifications are available on the ACF Forms page at [http://www.acf.hhs.gov/grants/grants\\_resources.html](http://www.acf.hhs.gov/grants/grants_resources.html).

Grants.gov Forms Repository webpage at [http://www.grants.gov/agencies/aforms\\_repository\\_information.jsp](http://www.grants.gov/agencies/aforms_repository_information.jsp).

Versions of other Standard Forms (SFs) are available on the Office of Management and Budget (OMB) Grants Management Forms web site at [http://www.whitehouse.gov/omb/grants\\_forms/](http://www.whitehouse.gov/omb/grants_forms/).

For information regarding accessibility issues, visit the Grants.gov Accessibility Compliance Page at [http://www07.grants.gov/aboutgrants/accessibility\\_compliance.jsp](http://www07.grants.gov/aboutgrants/accessibility_compliance.jsp)

Sign up to receive notification of ACF Funding Opportunities at [www.Grants.gov](http://www.grants.gov) [http://www.grants.gov/applicants/email\\_subscription.jsp](http://www.grants.gov/applicants/email_subscription.jsp).

The OCS website, available at <http://www.acf.hhs.gov/programs/ocs/>, provides a wide range of information and links to other relevant websites. Before preparing an application, OCS suggests the applicant learn more about the mission and programs of OCS.

### Application Checklist

Applicants may use the checklist below as a guide when preparing your application package.

| What to Submit | Where Found | When to Submit |
|----------------|-------------|----------------|
|----------------|-------------|----------------|



|   |  |  |
|---|--|--|
| <p><b>SF-424A - Budget Information - Non-Construction Programs and</b></p> <p><b>SF-424B - Assurances - Non-Construction Programs</b></p> | <p>Referenced in <i>Section IV.2.</i> and found at <a href="http://www.acf.hhs.gov/grants/grants_resources.html">http:// www.acf.hhs.gov /grants/grants_resources.html</a>.</p>  | <p>Submission is due by the application due date found in the <i>Overview</i> and in <i>Section IV.3. Submission Dates and Times</i>.</p>  |
| <p><b>SF-424 - Application for Federal Assistance and</b></p> <p><b>SF-P/PSL - Project/Performance Site Location(s)</b></p>               | <p>Referenced in <i>Section IV.2.</i> and found at <a href="http://www.acf.hhs.gov/grants/grants_resources.html">http:// www.acf.hhs.gov/ grants/grants_resources.html</a> and at the Grants.gov Forms Repository at <a href="http://www.grants.gov/agencies/aforms_repository_information.jsp">http://www.grants.gov/ agencies/ aforms_repository_information.jsp</a>.</p>  | <p>Submission is due by the application due date found in the <i>Overview</i> and in <i>Section IV.3. Submission Dates and Times</i>.</p>  |
| <p><b>Certification Regarding Lobbying</b></p>  | <p>Referenced in <i>Section IV.2.</i> of the announcement and found at <a href="http://www.acf.hhs.gov/grants/grants_resources.html">http:// www.acf.hhs.gov /grants/grants_resources.html</a>.</p>  | <p>Submission is due with the application package. If it is not submitted with the application package, it may also be submitted prior to the award of a grant.</p>  |
| <p><b>SF-LLL - Disclosure of Lobbying Activities</b></p>  | <p>"Disclosure Form to Report Lobbying" is referenced in <i>Section IV.2.</i> and found at <a href="http://www.acf.hhs.gov/grants/grants_resources.html">http:// www.acf.hhs.gov /grants/grants_resources.html</a>.</p> <p>Submission of this form is required if any funds have been paid, or will be paid, to any person for influencing, or attempting to influence, an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan.</p> | <p>If submission of this form is applicable, it is due prior at the time of application. It may also be submitted prior to the award of a grant.</p>   |
| <p><b>Survey on Ensuring Equal Opportunity for Applicants</b></p>   | <p>Non-profit private organizations (not including private universities) are encouraged to submit the survey with their applications. Applicants applying electronically, may submit this survey along with the application as part of the appendix or as a separate document. Applicants submitting in paper, please place the</p>  | <p><b>Submission is voluntary.</b> Submission may be made with the application by the application due date listed in the <i>Overview</i> and <i>Section IV.3. Submission Dates and Times</i>. Or, it may be submitted prior to the award of a grant.</p> |

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|  | <p>completed survey in an envelope labeled "Applicant Survey." Seal the envelope and include it along with the application package.</p> <p>The survey is referenced in Section IV.2. of the announcement. The survey may be found at <a href="http://www.acf.hhs.gov/grants/grants_resources.html">http://www.acf.hhs.gov/grants/grants_resources.html</a>.</p> <p>The survey will not count in the page limitations.</p> |  |
| <b>Table of Contents</b>                           | Referenced in <i>Section IV.2. The Project Description</i> . This is an element of the Project Description and will usually be counted in page limitations listed in <i>Section IV.2. Formatting Requirements</i> .   | Submission is due as part of the Project Description by the application due date found in the <i>Overview</i> and in <i>Section IV.3. Submission Dates and Times</i> .   |
| <b>The Project Budget and Budget Justification</b> | Referenced in <i>Section IV.2. The Project Budget and Budget Justification</i> of the announcement.   | Submission of the Project Budget is required on the appropriate Standard Form (424A or 424C). The Budget Justification is a separate document that may be no longer than 10 pages and is due by the application due date found in the <i>Overview</i> and in <i>Section IV.3. Submission Dates and Times</i> . |
| <b>Project Summary/Abstract</b>                    | Referenced in <i>Section IV.2. The Project Description</i> of the announcement. It is an element of the Project Description and will be counted in page limitations that are stated in <i>Section IV.2. Formatting Requirements</i> .   | Submission is due by the application due date found in the <i>Overview</i> and in <i>Section IV.3. Submission Dates and Times</i> .  |
| <b>The Project Description</b>                     | Referenced in <i>Section IV.2. The Project Description</i> . This is the title for the project narrative that describes the applicant's plan for the project.   | Submission is due by the application due date found in the <i>Overview</i> and in <i>Section IV.3. Submission Dates and Times</i> .  |



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| <b>Logic Model</b>   | Referenced in <i>Section IV.2. The Project Description</i> of the announcement. It is an element of the Project Description and will be counted in page limitations that are stated in <i>Section IV.2. Formatting Requirements</i> .   | Submission is due with the application package by the application due date found in the <i>Overview</i> and in <i>Section IV.3. Submission Dates and Times</i> .  |
| <b>Proof of Non-Profit Status</b>  | Referenced in <i>Section IV.2. The Project Description</i> of the announcement under "Legal Status of Applicant Entity." Proof of non-profit status may be submitted as part of appendices to the application package. It is not considered as part of the project narrative/plan.  | Proof of non-profit status should be submitted with the application package by the due date listed in the <i>Overview</i> and <i>Section IV.3. Submission Dates and Times</i> . If it is not available at the time of application submission, it must be submitted prior to the award of a grant. |
| <b>Letters of Support</b>  | Referenced in <i>Section IV.2. The Project Description</i> . This is an element of the Project Description and may count against page limitations set in <i>Section IV.2. Formatting Requirements</i> .   | Submission is due by the application due date listed in the <i>Overview</i> and in <i>Section IV.3. Submission Dates and Times</i> .  |
| <b>Executive Order 12372, "Intergovernmental Review of Federal Programs," and 45 CFR Part 100, "Intergovernmental Review of Department of Health and Human Services Programs and Activities"</b> | Applicants should go to the following URL for the official list of the jurisdictions that have elected to participate in E.O. 12372 <a href="http://www.whitehouse.gov/omb/grants_spoc/">http://www.whitehouse.gov/omb/grants_spoc/</a> as indicated in <i>Section IV.4. Intergovernmental Review</i> of this announcement. The Executive Order and CFR require that applicants submit all required application materials to their State Single Point of Contact (SPOC) and indicate the date of submission on the Standard Form (SF) 424 at item 19. | Submission of application materials is due to SPOC by the application due date listed in the <i>Overview</i> and in <i>Section IV.3. Submission Dates and Times</i> .   |

## Appendices